

UNITED STATES BANKRUPTCY COURT
SOUTHERN DISTRICT OF NEW YORK

X
:
:
In Re : Chapter 11
Case No. 18-23538 (RDD)

SEARS HOLDING CORPORATION, et al.,

Debtors

(Jointly Administered)

X

Response to objection by Sears Holding to Proofs of Claims (Reclassifying Claims)

Claim # 17991 / USD 15,000.

NICANORA O'SULLIVAN
6919 Groton Street
Forest Hills, NY 11375

Please do not allow Sears Corporation to (i)reclassify to general unsecured claims,
as I own second lien PIK notes and purchased these specifically based they were
secured bonds.



Scott M. Fitzgerald/Authorized Agent

President
Steel Ridge Advisors
1377 Motor Pkwy, Suite 204
Islandia, NY 11749
sfitzgerald@steelridgeadvisors.com
(631) 353-0003

11/5/2021

Contact 844.384.4460 Client Login



Sears Holdings Corporation (18-23538)

[CHANGE CASE](#)

[Case Info](#) [Docket](#) [Claims](#) [Submit a Claim](#) [Submit Inquiry](#)

[Search Docket](#) [Search Claim](#)

Schedule	Claim #	Filed Date	Creditor Name	Debtor Name	Claim Value
	17991#	04/10/2019	O'SULLIVAN, NICANORA	Sears Holdings Corporation	\$ 15,000.00

Creditor Data Details for Claim # 17991

Creditor
O'SULLIVAN, NICANORA

Date Filed
04/10/2019

Debtor Name
Sears Holdings Corporation
Schedule Number

Claim Number
17991
Proof of Claim
[View PDF](#) [Email PDF](#)

Schedule Amount C*U*D*	Asserted Claim Amount C*U*F*	Current Claim Status Claim Value
General Unsecured		
Priority		
Secured	\$15,000.00	\$15,000.00 Asserted
503(b)(9) Admin Priority		
Admin Priority		
Total	\$0.00	\$15,000.00 \$15,000.00

*C=Contingent, U=Unliquidated, D=Disputed, F=Foreign

Prime Clerk maintains this website for the public's convenience and for general informational purposes only. Anyone using this website is cautioned NOT to rely on any information contained on this Website, and any user of this website should not take or refrain from taking any action based upon anything included or not included on this website. We are not a law firm or a substitute for

[Open in new window](#)

Select scope

Claims Only

Claim Number(s)(e.g. 1,3,5-7)

17991

Schedule Number

Creditor name

Debtor(s)

Sears Holdings Corporation(18-23538)

Select Classification

Select an Option

Select Search Operator

Select an Option

Amount

Date from

Date to

-

[Search Claim](#)

[Reset](#)

Page 1 of 1

20

View 1 - 1 of 1

[Home](#) [Leadership](#) [Disclaimer](#) [Terms & Conditions](#)

©2016 Prime Clerk. All rights reserved.

Contact 844.384.4460 Client Login



Sears Holdings Corporation (18-23538)

[CHANGE CASE](#)

Case Info Docket Claims **Submit a Claim** Submit Inquiry

Search Docket Search Claim

Schedule	Claim #	Filed Date	Creditor Name	Debtor Name	Claim Value
	17991	04/10/2019	O'SULLIVAN, NICANORA	Sears Holdings Corporation	\$ 15,000.00

Creditor Data Details for Claim # 17991

Creditor
O'SULLIVAN, NICANORA

Date Filed
04/10/2019

Debtor Name
Sears Holdings Corporation
Schedule Number

Claim Number
17991

Proof of Claim
☐ View PDF ☐ Email PDF

Select scope

Claims Only

Claim Number(s) (e.g. 1,3,5-7)

Schedule Number

Creditor name

nicanora

Debtor(s)

Sears Holdings Corporation(18-23538)

Select Classification

Select an Option

Select Search Operator

Select an Option

Amount

Date from

Date to

Search Claim

[Reset](#)

Schedule	Amount C*UD*	Asserted Claim Amount C*UF*	Current Claim Status	Claim Value
General Unsecured		\$15,000.00	\$15,000.00	Asserted
Priority				
Secured				
503(b)(9) Admin Priority				
Admin Priority				
Total	\$0.00	\$15,000.00	\$15,000.00	

*C=Contingent, U=Unliquidated, D=Disputed, F=Foreign

Prime Clerk maintains this website for the public's convenience and for general informational purposes only. Anyone using this website is cautioned NOT to rely on any information contained on this Website, and any user of this website should not take or refrain from taking any action based upon anything included or not included on this website. We are not a law firm or a substitute for

[Open in new window](#)

Page 1 of 1

20

View 1 - 1 of 1

[Home](#) [Leadership](#) [Disclaimer](#) [Terms & Conditions](#)

©2016 Prime Clerk. All rights reserved.

Fill in this information to identify the case (Select only one Debtor per claim form):

<input checked="" type="checkbox"/> Sears Holdings Corporation (18-23538)	<input type="checkbox"/> Kmart Corporation (18-23549)	<input type="checkbox"/> Sears, Roebuck de Puerto Rico, Inc. (18-23561)	<input type="checkbox"/> MyGofer LLC (18-23573)	<input type="checkbox"/> Kmart.com LLC (18-23585)
<input type="checkbox"/> Sears, Roebuck and Co. (18-23537)	<input type="checkbox"/> MaxServ, Inc. (18-23550)	<input type="checkbox"/> SYW Relay LLC (18-23562)	<input type="checkbox"/> Sears Brands Business Unit Corporation (18-23574)	<input type="checkbox"/> Sears Brands Management Corporation (18-23586)
<input type="checkbox"/> Kmart Holding Corporation (18-23539)	<input type="checkbox"/> Private Brands, Ltd. (18-23551)	<input type="checkbox"/> Wally Labs LLC (18-23563)	<input type="checkbox"/> Sears Holdings Publishing Company, LLC (18-23575)	<input type="checkbox"/> SHC Licensed Business LLC (18-23616)
<input type="checkbox"/> Kmart Operations LLC (18-23540)	<input type="checkbox"/> Sears Development Co. (18-23552)	<input type="checkbox"/> Big Beaver of Florida Development, LLC (18-23564)	<input type="checkbox"/> Kmart of Michigan, Inc. (18-23576)	<input type="checkbox"/> SHC Promotions LLC (18-23630)
<input type="checkbox"/> Sears Operations LLC (18-23541)	<input type="checkbox"/> Sears Holdings Management Corporation (18-23553)	<input type="checkbox"/> California Builder Appliances, Inc. (18-23565)	<input type="checkbox"/> SHC Desert Springs, LLC (18-23577)	<input type="checkbox"/> SRe Holding Corporation (19-22301)
<input type="checkbox"/> ServiceLive, Inc. (18-23542)	<input type="checkbox"/> Sears Home & Business Franchises, Inc. (18-23554)	<input type="checkbox"/> Florida Builder Appliances, Inc. (18-23566)	<input type="checkbox"/> SOE, Inc. (18-23578)	
<input type="checkbox"/> A&E Factory Service, LLC (18-23543)	<input type="checkbox"/> Sears Home Improvement Products, Inc. (18-23555)	<input type="checkbox"/> KBL Holding Inc. (18-23567)	<input type="checkbox"/> StarWest, LLC (18-23579)	
<input type="checkbox"/> A&E Home Delivery, LLC (18-23544)	<input type="checkbox"/> Sears Insurance Services, L.L.C. (18-23556)	<input type="checkbox"/> KLC, Inc. (18-23568)	<input type="checkbox"/> STI Merchandising, Inc. (18-23580)	
<input type="checkbox"/> A&E Lawn & Garden, LLC (18-23545)	<input type="checkbox"/> Sears Procurement Services, Inc. (18-23557)	<input type="checkbox"/> Sears Protection Company (Florida), L.L.C. (18-23569)	<input type="checkbox"/> Troy Coolidge No. 13, LLC (18-23581)	
<input type="checkbox"/> A&E Signature Service, LLC (18-23546)	<input type="checkbox"/> Sears Protection Company (18-23558)	<input type="checkbox"/> Kmart of Washington LLC (18-23570)	<input type="checkbox"/> BlueLight.com, Inc. (18-23582)	
<input type="checkbox"/> FBA Holdings Inc. (18-23547)	<input type="checkbox"/> Sears Protection Company (PR) Inc. (18-23559)	<input type="checkbox"/> Kmart Stores of Illinois LLC (18-23571)	<input type="checkbox"/> Sears Brands, L.L.C. (18-23583)	
<input type="checkbox"/> Innovel Solutions, Inc. (18-23548)	<input type="checkbox"/> Sears Roebuck Acceptance Corp. (18-23560)	<input type="checkbox"/> Kmart Stores of Texas LLC (18-23572)	<input type="checkbox"/> Sears Buying Services, Inc. (18-23584)	

Proof of Claim

04/16

Read the instructions before filling out this form. This form is for making a claim for payment in a bankruptcy case. Do not use this form to make a request for payment of an administrative expense, other than a claim entitled to administrative priority pursuant to 11 U.S.C. § 503(b)(9). Make such a request according to 11 U.S.C. § 503.

Filers must leave out or redact information that is entitled to privacy on this form or on any attached documents. Attach redacted copies of any documents that support the claim, such as promissory notes, purchase orders, invoices, itemized statements of running accounts, contracts, judgments, mortgages, and security agreements. Do not send original documents; they may be destroyed after scanning. If the documents are not available, explain in an attachment.

A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

Fill in all the information about the claim as of the date the case was filed. That date is on the notice of bankruptcy (Form 309) that you received.

Part 1: Identify the Claim

1. Who is the current creditor?	NICANORA O'SULLIVAN Name of the current creditor (the person or entity to be paid for this claim) Other names the creditor used with the debtor _____	
2. Has this claim been acquired from someone else?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. From whom? _____	
3. Where should notices and payments to the creditor be sent? Federal Rule of Bankruptcy Procedure (FRBP) 2002(g)	Where should notices to the creditor be sent? 6919 GROTON STREET FOREST HILLS, NY 11375 Contact phone <u>718-268-4659</u> Contact email _____	Where should payments to the creditor be sent? (if different) NATIONAL FINANCIAL SERVICES C/O ROYAL ALLIANCE 10 EXCHANGE PLAZA SUITE 1410 JERSEY CITY, NJ 07302 RQV-003809 Contact phone <u>631-353-0003</u> Contact email <u>sfitzgerald@steelridgeadvisors.com</u>
4. Does this claim amend one already filed?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. Claim number on court claims registry (if known) _____ Filed on ____ / ____ / ____	
5. Do you know if anyone else has filed a proof of claim for this claim?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. Who made the earlier filing? _____	

Part 2: Give Information About the Claim as of the Date the Case Was Filed

6. Do you have any number you use to identify the debtor? ☐ No ☒ Yes. Last 4 digits of the debtor's account or any number you use to identify the debtor: 3 0 9 9

7. How much is the claim? \$ 15,000.00 Does this amount include interest or other charges? ☒ No ☐ Yes. Attach statement itemizing interest, fees, expenses, or other charges required by Bankruptcy Rule 3001(c)(2)(A).

8. What is the basis of the claim? Examples: Goods sold, money loaned, lease, services performed, personal injury or wrongful death, or creditcard. Attach redacted copies of any documents supporting the claim required by Bankruptcy Rule 3001(c). Limit disclosing information that is entitled to privacy, such as health care information.

9. Is all or part of the claim secured? ☐ No ☒ Yes. The claim is secured by a lien on property.

Nature of property:

☐ Real estate. If the claim is secured by the debtor's principal residence, file a *Mortgage Proof of Claim Attachment* (Official Form 410-A) with this *Proof of Claim*.

☐ Motor vehicle

☒ Other. Describe: SEARS HLDGS CORP. 6 5/8% SENIOR SECURED NOTE DUE 10/15/16

Basis for perfection: _____

Attach redacted copies of documents, if any, that show evidence of perfection of a security interest (for example, a mortgage, lien, certificate of title, financing statement, or other document that shows the lien has been filed or recorded.)

Value of property: \$ _____

Amount of the claim that is secured: \$ _____

Amount of the claim that is unsecured: \$ _____ (The sum of the secured and unsecured amounts should match the amount in line 7.)

Amount necessary to cure any default as of the date of the petition: \$ _____

Annual Interest Rate (when case was filed) _____ %

☐ Fixed

☐ Variable

10. Is this claim based on a lease? ☒ No ☐ Yes. Amount necessary to cure any default as of the date of the petition. \$ _____

11. Is this claim subject to a right of setoff? ☒ No ☐ Yes. Identify the property: _____

12. Is all or part of the claim entitled to priority under 11 U.S.C. § 507(a)? ☒ No
☐ Yes. Check one:

A claim may be partly priority and partly nonpriority. For example, in some categories, the law limits the amount entitled to priority.

☐ Domestic support obligations (including alimony and child support) under 11 U.S.C. § 507(a)(1)(A) or (a)(1)(B). Amount entitled to priority \$ _____

☐ Up to \$2,850* of deposits toward purchase, lease, or rental of property or services for personal, family, or household use. 11 U.S.C. § 507(a)(7). \$ _____

☐ Wages, salaries, or commissions (up to \$12,850*) earned within 180 days before the bankruptcy petition is filed or the debtor's business ends, whichever is earlier. 11 U.S.C. § 507(a)(4). \$ _____

☐ Taxes or penalties owed to governmental units. 11 U.S.C. § 507(a)(8). \$ _____

☐ Contributions to an employee benefit plan. 11 U.S.C. § 507(a)(5). \$ _____

☐ Other. Specify subsection of 11 U.S.C. § 507(a)() that applies. \$ _____

* Amounts are subject to adjustment on 4/01/19 and every 3 years after that for cases begun on or after the date of adjustment.

13. Is all or part of the claim entitled to administrative priority pursuant to 11 U.S.C. § 503(b)(9)? ☒ No
☐ Yes. Indicate the amount of your claim arising from the value of any goods received by the Debtor within 20 days before the date of commencement of the above case, in which the goods have been sold to the Debtor in the ordinary course of such Debtor's business. Attach documentation supporting such claim. \$ _____

Part 3: Sign Below

The person completing this proof of claim must sign and date it. FRBP 9011(b).

If you file this claim electronically, FRBP 5005(a)(2) authorizes courts to establish local rules specifying what a signature is.

A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

Check the appropriate box:

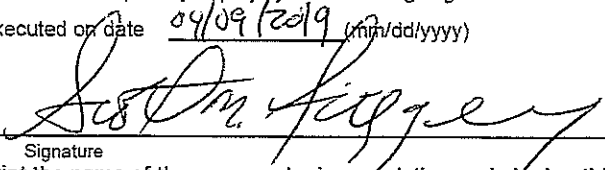
- ☐ I am the creditor.
☒ I am the creditor's attorney or authorized agent.
☐ I am the trustee, or the debtor, or their authorized agent. Bankruptcy Rule 3004.
☐ I am a guarantor, surety, endorser, or other codebtor. Bankruptcy Rule 3005.

I understand that an authorized signature on this *Proof of Claim* serves as an acknowledgment that when calculating the amount of the claim, the creditor gave the debtor credit for any payments received toward the debt.

I have examined the information in this *Proof of Claim* and have a reasonable belief that the information is true and correct.

I declare under penalty of perjury that the foregoing is true and correct.

Executed on date 09/09/2019 (mm/dd/yyyy)


Signature

Print the name of the person who is completing and signing this claim:

Name of the person who is completing and signing this claim:

Name SCOTT M FITZGERALD
First name Middle name Last name

Title PRESIDENT

Company STEEL RIDGE ADVISORS
Identify the corporate servicer as the company if the authorized agent is-a servicer.

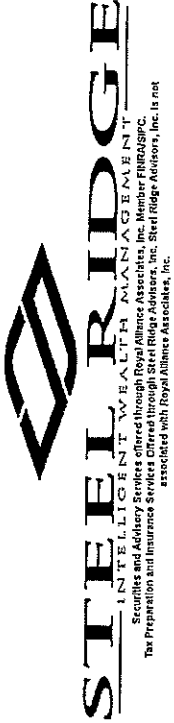
Address 1377 MOTOR PKWY, SUITE 204
Number Street

ISLANDIA NY 11749
City State ZIP Code

Contact phone 631-353-0003 Email sfitzgerald@steelridgeadvisors.com

ENV# CEBGWBCPBBDPXPB BBBB
ROYAL ALLIANCE ASSOCIATES INC.
10 EXCHANGE PLACE, SUITE 1410
JERSEY CITY, NJ 07302

NICANORA O'SULLIVAN TTEE
FEARGAL OSULLIVAN IRREV LIFE INS
6919 GROTON STREET
FOREST HILLS NY 11375



STATEMENT FOR THE PERIOD MARCH 1, 2019 TO MARCH 31, 2019

FEARGAL OSULLIVAN IRREV LIFE INS - Trust: Under Agreement
Account Number: RQV-003809

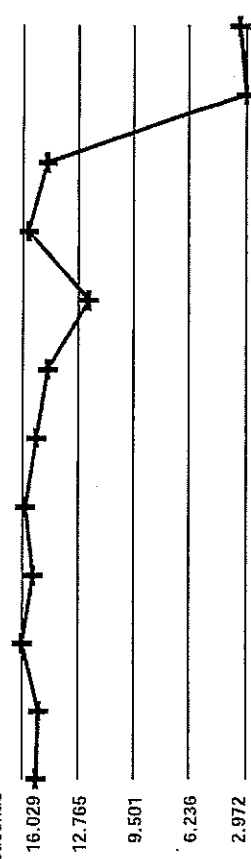
YOUR FINANCIAL ADVISOR IS:
SCOTT FITZGERALD
RR#: AZP
For questions about your accounts:
Local: 631 353 0003
In-State: 631 353 0003
National: 631 353 0003

TOTAL VALUE OF YOUR PORTFOLIO

\$3,352.59

CHANGE IN VALUE OF YOUR PORTFOLIO

\$ thousands



Change In Value Of Your Portfolio information can be found in Miscellaneous Footnotes at the end of this statement.

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEBGWBCPBBDPXPB BBBB 20190329

Statement for the Period March 1, 2019 to March 31, 2019
FEARGAL OSULLIVAN IRREV LIFE INS - Trust: Under Agreement
Account Number: RQV-003809

Account Overview

CHANGE IN ACCOUNT VALUE	Current Period	Year-to-Date
BEGINNING VALUE	\$4,851.72	\$2,972.93
Additions and Withdrawals	\$0.00	\$0.00
Income	\$0.87	\$4.66
Taxes, Fees and Expenses	\$0.00	\$0.00
Change in Value	(\$1,500.00)	\$375.00
ENDING VALUE (AS OF 03/31/19)	\$3,352.59	\$3,352.59

Refer to Miscellaneous Footnotes for more information on Change in Value.

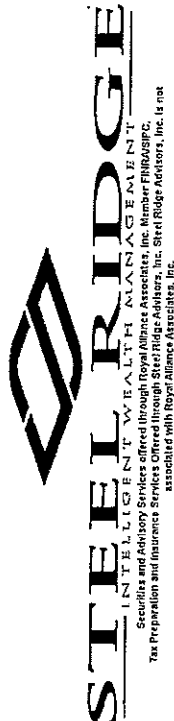
INCOME	Current Period	Year-to-Date
TAXABLE		
Taxable Dividends	\$0.71	\$4.50
Taxable Interest	\$0.16	\$0.16
TOTAL TAXABLE	\$0.87	\$4.66
TOTAL INCOME	\$0.87	\$4.66

Taxable income is determined based on information available to NFS at the time the statement was prepared, and is subject to change. Final information on taxation of interest and dividends is available on Form 1099-Div, which is mailed in February of the subsequent year.

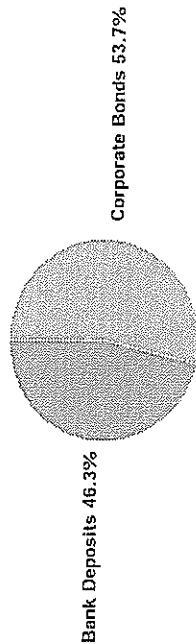
Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDPXPFG_BRBBB 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC



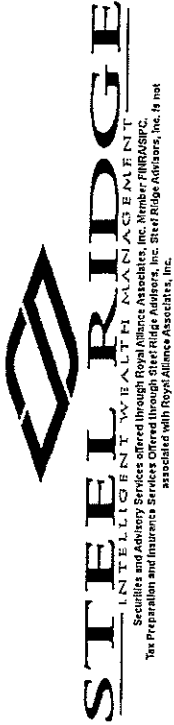
ACCOUNT ALLOCATION



	Percent	Prior Period	Current Period
Money Markets	0.0 %	\$1,551.72	\$0.00
Bank Deposits	46.3	\$0.00	\$1,552.59
Corporate Bonds	53.7	\$3,300.00	\$1,800.00
TOTAL	100.0 %	\$4,851.72	\$3,352.59

Account Allocation shows the percentage that each asset class represents of your total account value. Account Allocation for equities, fixed income, and other categories may include mutual funds and may be net of short positions. NFS has made assumptions concerning how certain mutual funds are allocated. Closed-end mutual funds and Exchange Traded Products (ETPs) listed on an exchange may be included in the equity allocation. The chart may not reflect your actual portfolio allocation. Consult your broker/dealer prior to making investment decisions.

Statement for the Period March 1, 2019 to March 31, 2019
FEARGAL OSULLIVAN IRREV LIFE INS - Trust: Under Agreement
Account Number: RQV-003809



Account Overview *continued*

MESSAGES AND ALERTS

DRS - Direct Registration System Transfer Agent Fee Effective May 1, 2014, three transfer agents, Computershare, Wells Fargo, and Registrar and Transfer Company are implementing a \$15 transfer fee for each position moved into your brokerage account via book entry Direct Registration System - DRS. If the fee is charged by the agent, NFS will pass through the charge to the account. As a reminder, there is already an existing fee charged to accounts for outgoing DRS transfers. Please contact your Financial Advisor if you have any questions regarding this fee.

Beginning in January 2019, National Financial Services will enhance the end-investor statement with the following changes. Payee details will be displayed within Activity Sections Description field for transactions that have associated Payee information. A summary level total of Short Dividends charged will be reported within the Account Overview section. Change in Value of Your Portfolio graph will show minimum and maximum scaling on the Y axis. include Negative values and, use clearer data points for information displayed.

National Financial Services LLC NFS is required by the Securities Exchange Act of 1934 to provide certain financial information from its Statement of Financial Condition. At December 31, 2018, NFS, an affiliate of Fidelity Brokerage Services LLC, had net capital of \$4,012 million, which was 13.67 percent of aggregate debit items and exceeded its minimum requirement by \$3,425 million. To acquire the Statement of Financial Condition, log on to www.mybrokerageinfo.com. If you wish to obtain a copy of this document at no cost, please call 800-439-5627.

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDPXPGBBBB 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
FEARGAL OSULLIVAN IRRREV LIFE INS - Trust Under Agreement
Account Number: RQV-003809



Holdings

NFS-provided cost basis, realized gain (loss) and holding period information may not reflect all adjustments necessary for tax purposes. Please refer to Footnotes and Cost Basis Information at the end of this statement for more information.

For additional information regarding your holdings, please refer to the footnotes at the end of the statement.

CASH AND CASH EQUIVALENTS - 46.31% of Total Account Value

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income
Bank Deposits					
Bank deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). Funds used to purchase or sweep to a bank deposit are SIPC protected until deposited to a Program Bank at which time funds may be eligible for FDIC insurance. Customers are responsible for monitoring their total deposits at each Program Bank to determine the extent of available FDIC insurance. Refer to the Bank Deposit Detail section which appears later in this statement for information on the banks holding your deposits. If your account was established on the last business day of this month, your statement will not include a Bank Deposit Detail section.					
ADVISOR GROUP INS DEPOSIT PROGRAM (BUSINESS-TIERED)	QAGBQ CASH	1,552.59	\$1.00	\$1,552.59	
Estimated Annual Yield	0.19%				
Total Cash and Cash Equivalents				\$1,552.59	

HOLDINGS > FIXED INCOME - 53.69% of Total Account Value

For an explanation of fixed income pricing, please see the last page. Redemption schedule(s), bond rating(s), and other information are provided where available. If information does not appear regarding a particular investment, it is not available. The ratings on this statement are provided by Standard & Poor's and/or Moody's to rate the quality based on the respective rating agency's assessment. Ratings information from Standard & Poor's ("S&P") may not be reproduced. S&P credit ratings are statements of opinion and are not statements of fact or recommendations to purchase, hold, or sell securities, nor do they address the suitability of securities for investment purposes, and should not be relied on as investment advice. S&P does not guarantee the accuracy, completeness, timeliness or availability of any information, including ratings, and is not responsible for errors or omissions (negligent or otherwise). S&P gives no express or implied warranties, including but not limited to any warranties of merchantability or fitness for a particular purpose or use. S&P shall not be liable for any direct, indirect, incidental, exemplary, compensatory, punitive, special or consequential damages, costs, expenses, legal fees, or losses (including lost income or profits and opportunity costs) in connection with any use of ratings.

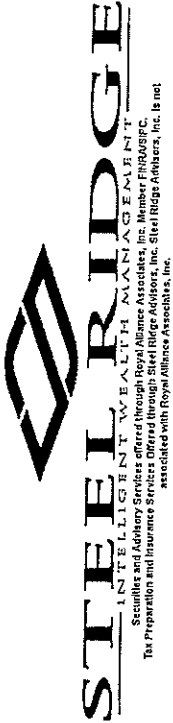
Description	Symbol/Cusip Account Type	Quantity	Estimated Price on 03/31/19	Estimated Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
Corporate Bonds							
SEARS HLDGS CORP NOTE CALL MAKE WHOLE 6.62500% 10/15/2018	812350AE6 CASH	15,000	\$12.00	\$1,800.00		\$14,219.50	
MOODY'S WR CPN PMT SEMI-ANNUAL ON OCT 15, APR 15							

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDPXPGBBBB 20190329

Account carried with National Financial Services LLC, Member NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
FEARGAL OSULLIVAN IRREV LIFE INS - Trust: Under Agreement
Account Number: RQV-003809



HOLDINGS > FIXED INCOME *continued*

Description	Symbol/Cusip Account Type	Quantity	Estimated Price on 03/31/19	Estimated Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
SEARS HLDGS CORP NOTE CALL MAKE WHOLE CONTINUOUSLY CALLABLE IN MONETARY DEFAULT	812350A06	15,000					
Average Unit Cost				\$1,800.00		\$14,219.50	(\$12,419.50)
Adjusted Cost Basis						\$14,219.50	(\$12,419.50)
Total Fixed Income				\$1,800.00		\$14,219.50	(\$12,419.50)
Total Securities							
TOTAL PORTFOLIO VALUE				\$3,352.59		\$14,219.50	(\$12,419.50)

Activity

NF's-provided cost basis, realized gain (loss) and holding period information may not reflect all adjustments necessary for tax purposes. Please refer to Footnotes and Cost Basis Information at the end of this statement for more information.

PURCHASES, SALES, AND REDEMPTIONS

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
03/11/19	CASH	YOU SOLD	FIDELITY GOVT MMKT CAPITAL RESERVES CL FZAXX TO QAGBQ	(1,551.72)	\$1,551.72
Total Securities Sold					\$1,551.72

ACTIVITY > CORE FUND ACTIVITY

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
03/11/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (BUSINESS-TIERED) QAGBQ IS LIQUID	1,551.72	(\$1,551.72)

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
FEARGAL OSULLIVAN IRREV LIFE INS - Trust: Under Agreement
Account Number: RQV-003809



ACTIVITY > CORE FUND ACTIVITY *continued*

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
03/29/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (BUSINESS-TIERED) @ 1	0.71	(\$0.71)
03/29/19	CASH	REINVESTMENT	ADVISOR GROUP INS DEPOSIT PROGRAM (BUSINESS-TIERED) NET INT REINVEST	0.16	(\$0.16)
TOTAL CORE FUND ACTIVITY					(\$1,552.59)

ACTIVITY > INCOME > TAXABLE INCOME

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
Taxable Dividends					
03/29/19	CASH	DIVIDEND RECEIVED	FIDELITY GOVT MMKT CAPITAL RESERVES CL DIVIDEND RECEIVED		\$0.71
Total Taxable Dividends					\$0.71
Taxable Interest					
03/29/19	CASH	INTEREST RECEIVED	ADVISOR GROUP INS DEPOSIT PROGRAM (BUSINESS-TIERED)		\$0.16
Total Taxable Interest					\$0.16
Total Taxable Income					\$0.87
TOTAL INCOME					\$0.87

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDPXPB_BBBB 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
FEARGAL OSULLIVAN IRREV LIFE INS - Trust: Under Agreement
Account Number: RQV-003809



ACTIVITY > BANK DEPOSIT DETAIL

Bank deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). Customers are responsible for monitoring their total deposits at each Program Bank to determine the extent of available FDIC insurance. Your Ending Balance at each Program Bank as of the end of this statement period is shown below. If you participate in a Bank Deposit Sweep Program and also hold a Bank Deposit Direct Investment, the Bank Deposit Detail section lists banks and ending balances for both programs. Funds pending settlement reflect deposits to (credit) or withdrawals from (debit) a Program Bank. Subject to the terms of the applicable bank deposit disclosure, customers are reminded that funds are deposited to a Program Bank on the business day following the date that funds are credited to your account and until swept to a Program Bank, funds are covered by SIPC.

Bank	Beginning Balance	Ending Balance
The BOEA Ltd	\$0.00	\$1,551.88
Current Month's Pending Settlement		\$0.71
Total Bank Deposits	\$0.00	\$1,552.59

Footnotes and Cost Basis Information

Amortization, accretion and similar adjustments to cost basis have been provided for many fixed income securities (and some bond-like equities), however, they are not provided for certain types, such as short-term instruments, Unit Investment Trusts, foreign fixed income securities, or those that are subject to early prepayment of principal (pay downs). Where current year premium or acquisition premium amortization is provided, the prior years' cumulative amortization is reflected in the adjusted cost basis, but we cannot provide a breakdown or the total of such prior amortization amounts.

NFS is required to report certain cost basis and related information to the IRS on the Form 1099-B. Your official 1099-B forms for certain transactions will reflect which lots have been sold for tax purposes. To apply a specific identification cost basis method to 1099-B reporting, appropriate instructions must be on file with NFS or he received by NFS before the trade has settled. Absent such instructions, NFS determines cost basis at the time of sale based on its default methods of average cost for open-end mutual funds and first-in, first-out (FIFO) for all other (including ETFs) unless your broker dealer has elected to use another default method. NFS applies FIFO (or other disposal method, if applicable) based on its records, which may be different from yours. For transactions that are not subject to 1099-B cost basis reporting, you should refer to your trade confirmations and other applicable records to determine which lots were considered sold for tax purposes.

While NFS must meet IRS requirements with respect to certain information required to be reported to the IRS, NFS-provided cost basis, realized gain and loss, and holding period information may not reflect all adjustments necessary for your tax reporting purposes. NFS makes no warranties with respect to and specifically disclaims any liability arising out of a customer's use of, or any tax position taken in reliance upon, such information.

For investments in partnerships, NFS does not make any adjustments to cost basis information as the calculation of basis in such investments requires supplemental information from the partnership on its income and distributions during the period you held your investment. Partnerships usually provide this additional information on a Form K-1 issued by April 15th of the following year.

Consult your tax advisor for further information.

D - Adjusted cost basis reflects any cumulative original issue discount, premium, or acquisition premium, and it assumes such amounts were amortized by the taxpayer over the life of the security from acquisition date through disposition date. For securities still held, maturity date was used instead of disposition date. Premium amortization was calculated using the yield-to-maturity method. Acquisition premium was calculated using the ratable accrual method. If applicable, adjusted cost basis reflects market discount accretion which was calculated using the straight-line method and was recognized at disposition date. Gain/loss displayed for this transaction was based on cost basis as adjusted for premium and discount as stated above and does not reflect any losses disallowed because of wash sales (if applicable). The adjusted cost basis may not reflect all adjustments necessary for tax reporting purposes and may also not apply if you are using an alternative amortization calculation method. Refer to IRS Publication 550, Investment Income and Expenses, for additional information.

If a sale, redemption or other disposition involved multiple tax lots, the transaction's totals may have been calculated using a combination of adjusted and unadjusted cost basis information. For lots where adjusted cost basis and its associated gain/loss are known, that was used, otherwise "regular" unadjusted cost basis and its associated gain/loss was used.

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEBGWBCPBBDPXP_BBBB 20190329

Statement for the Period March 1, 2019 to March 31, 2019
FEARGAL OSULLIVAN IRREV LIFE INS - Trust: Under Agreement
Account Number: RQV-003809



Miscellaneous Footnotes

CHANGE IN VALUE OF YOUR PORTFOLIO is the change in market value of your portfolio assets over the time period shown. The portfolio assets include the market value of all the securities in the account, plus insurance and annuity assets if applicable. The time frame of the graph is from account opening or September 2011, whichever is later, to the current period. Please note that large increases and/or declines in the change in the value of the portfolio can be due to additions, distribution and/or performance.

CHANGE IN VALUE reflects appreciation or depreciation of your holdings due to price changes plus any activity not reflected within Additions and Withdrawals, Income, Taxes, Fees and Expenses, and Other Activity sections. Change in Value does not reflect activity related to assets in which NFS is not the custodian (e.g. Insurance and Annuities, Assets Held Away and Other Assets Held Away).

CALLABLE SECURITIES LOTTERY - When street name or bearer securities held for you are subject to a partial call or partial redemption by the issuer, NFS may or may not receive an allocation of called/redeemed securities by the issuer, transfer agent and/or depository. If NFS is allocated a portion of the called/redeemed securities, NFS utilizes an impartial lottery allocation system, in accordance with applicable rules, that randomly selects the securities within customer accounts that will be called/redeemed. NFS' allocations are not made on a pro rata basis and it is possible for you to receive a full or partial allocation, or no allocation. You have the right to withdraw uncalled fully paid securities at any time prior to the cutoff date and time established by the issuer, transfer agent and/or depository with respect to the partial call, and also to withdraw excess margin securities provided your account is not subject to restriction under Regulation T or such withdrawal will not cause an undermargined condition.

PRICING INFORMATION - Prices displayed are obtained from sources that may include pricing vendors, broker/dealers who clear through NFS and/or other sources. Prices may not reflect current fair market value and/or may not be readily marketable or redeemable at the prices shown.

FOREIGN EXCHANGE TRANSACTIONS - Some transaction types necessitate a foreign currency exchange (FX) in order to settle. FX transactions may be effected by Fidelity Forex, Inc. on a principal basis. Fidelity Forex, Inc., an affiliate of NFS, may impose a commission or markup on the prevailing interbank market price, which may result in a higher price to you. Fidelity Forex, Inc. may share a portion of any FX commission or markup with NFS. More favorable rates may be available through third parties not affiliated with NFS. The rate applicable to any transaction involving an FX is available upon request through your broker-dealer.

COST BASIS LEGISLATION - New IRS Rules will require National Financial Services to report cost basis and holding period information for the sale of shares of open end Mutual Fund holdings purchased on or after January 1, 2012 on Form 1099-B. National Financial Services determines the cost basis for all shares of open end mutual funds using a default method of average cost. Alternatively, account owners or their brokers and advisors can instruct National Financial Services to determine the cost basis for shares of open end mutual funds by 1) setting up their non-retirement accounts with one of our eleven tax lot disposal methods available to investors or 2) identifying specific tax lots to sell at the time of a transaction. Contact your broker or advisor to learn more about the cost basis tracking of your holdings.

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDPXPGBBBB 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

closely reflect the value at which the security may be sold or purchased based on various market factors. Investment decisions should be made only after consulting your broker-dealer.

Estimated Annual Income (EAI) & Estimated Yield (EY). EAI for fixed income is calculated using the coupon rate. For all other securities, EAI is calculated using an indicated annual dividend (IAD). The IAD is an estimate of a security's dividend payments for the next 12 months calculated based on prior and/or declared dividends for that security. EY reflects only the income generated by an investment and not changes in its price which may fluctuate. Interest and dividend rates are subject to change at any time and may be affected by current and future economic, political and business conditions. EAI and EY are estimates only and may include return of principal and/or capital gains, which would render them overstated. EAI and EY are provided for informational purposes only and should not be used or relied on for making investment, trading or tax decisions. EAI and EY are based on data obtained from information providers believed to be reliable, but no assurance can be made as to accuracy, timeliness or completeness.

described in the prospectus as well as additional compensation for shareholder services, start-up fees, infrastructure support and maintenance, and other programs. Additional information about the source(s) and amount(s) of compensation as well as other remuneration received by your introducing broker dealer and/or NFS will be furnished to you upon written request. At time of purchase fund shares may be assigned a bid, transaction fee or no transaction fee status. At time of sale, any fees applicable to your transaction will be assessed based on the status assigned to the shares at time of purchase. Margin. If you have applied for margin privileges and been approved, you may borrow money from NFS in exchange for pledging the assets in your account as collateral for any outstanding margin loan. The amount you may borrow is based on the value of securities in your margin account, which is identified on your statement. If you have a margin account, this is a combined statement of your margin account and special memorandum account other than your non-purpose margin accounts maintained for you under Section 220.5 of Regulation T issued by the Board of Governors of the Federal Reserve Board. The permanent record of the separate account, as required by Regulation T, is available for your inspection upon request. NYSE and FINRA. All transactions are subject to the constitution, rules, regulations, customs, usages, rulings and interpretations of the exchange market and its clearing house, if any, where the transactions are executed, and of the New York Stock Exchange (NYSE) and of the Financial Industry Regulatory Authority ("FINRA"). The FINRA requires that we notify you in writing of the availability of an investor brochure that includes information describing FINRA Regulation's BrokerCheck Program ("Program"). To obtain a brochure or more information about the Program or FINRA Regulation, contact the FINRA Regulation BrokerCheck Program Hotline at (800) 289-9999 or access the FINRA's web site at www.finra.org. FINRA Rule 4311 requires that your broker-dealer and NFS allocate between them certain functions regarding the administration of your brokerage account. The following is a summary of the allocation services performed by your broker-dealer and NFS. A more complete description is available upon request. Your broker-dealer is responsible for: (1) obtaining and verifying brokerage account information and documentation, (2) opening, approving and monitoring your brokerage account, (3) transmitting timely and accurate orders and instructions to NFS with respect to your brokerage account, (4) determining the suitability of investment recommendations and advice, (5) operating, and supervising your brokerage account and its own activities in compliance with applicable laws and regulations including compliance with margin rules pertaining to your margin account, if applicable, and (6) maintaining required books and records for the services that it performs. NFS shall, at the direction of your broker-dealer: (1) execute, clear and settle transactions processed through NFS by your broker-dealer, (2) prepare and send transaction confirmations and periodic statements of your brokerage account (unless your broker-dealer has undertaken to do so). Certain securities pricing and descriptive information may be provided by your broker-dealer or obtained from third parties deemed to be reliable, however, this information has not been verified by NFS, (3) act as custodian for funds and securities received by NFS on your behalf, (4) follow the instructions of your broker-dealer with respect to transactions and the receipt and delivery of funds and securities for your brokerage account, and (5) extend margin credit for purchasing or carrying securities on margin. Your broker-dealer is responsible for ensuring that your brokerage account is in compliance with federal, industry and NFS margin rules, and for advising you of margin requirements. NFS shall maintain the required books and records for the services it performs. Securities in accounts carried by NFS are protected in accordance with the Securities Investor Protection Corporation ("SIPC") up to \$500,000. The \$500,000 total amount of SIPC protection is inclusive of up to \$250,000 protection for claims for cash, subject to periodic adjustments for inflation in accordance with terms of the SIPC statute and approval by SIPC's Board of Directors. NFS also has arranged for coverage above these limits. Neither coverage protects against a decline in the market value of securities, nor does either coverage extend to certain securities that are considered ineligible for coverage. For more details on SIPC, or to request a SIPC brochure, visit www.sipc.org or call 1-202-371-8300. Funds used to purchase or sweep to a bank deposit are SIPC protected until deposited to a Program Bank at which time funds may be eligible for FDIC insurance. Assets Held Away, commodities, unregistered investment contracts, futures accounts, loaned securities and other investments may not be covered. Precious metals are not covered by SIPC protection. Mutual funds and/or other securities are not backed or guaranteed by any bank, nor are they insured by the FDIC and involve investment risk including possible loss of principal.

End of Statement

722239.7.0

Account carried with National Financial Services LLC, Member
NYSE, SIPC

GLOSSARY Short Account Balances. If you have sold securities under the short sale rule, we have, in accordance with regulations, segregated the proceeds from such transactions in your Short Account. Any market increases or decreases from the original sale price will be marked to the market and will be transferred to your Margin Account on a weekly basis. Market Value - The Total Market Value has been calculated out to 9 decimal places. However, the individual unit price is displayed in 5 decimal places. The Total Market Value represents prices obtained from various sources, may be impacted by the frequency in which such prices are reported and such prices are not guaranteed. Prices received from pricing vendors are generally based on current market quotes, but when such quotes are not available the pricing vendors use a variety of techniques to estimate value. These estimates, particularly for fixed income securities, may be based on certain minimum principal amounts (e.g. \$1 million) and may not reflect all of the factors that affect the value of the security, including liquidity risk. The prices provided are not firm bids or offers. Certain securities may reflect "N/A" or "unavailable" where the price for such security is generally not available from a pricing source. The Market Value of a security, including those priced at par value, may differ from its purchase price and may not

CUSTOMER SERVICE: Please review your statement and report any inaccuracy or discrepancy immediately by calling the telephone number of your broker-dealer reflected on the front of this statement. Reports of any inaccuracy or discrepancy regarding your brokerage account or the activity therein should be directed to your broker-dealer at the telephone number and address reflected on the front of this statement and National Financial Services LLC ("NFS").

NFS carries your brokerage account and acts as your custodian for funds and securities that are deposited with NFS by you or your broker-dealer. In addition to your initial contact with your broker-dealer you may contact NFS at (800) 801-9942. Any oral communications regarding inaccuracies or discrepancies should be reconfirmed in writing to protect your rights, including those under the Securities Investor Protection Act ("SIPA"). When contacting either your broker-dealer or NFS, remember to include your entire brokerage account number to ensure a prompt reply.

ADDITIONAL INFORMATION Free credit balances ("FCB") are funds payable to you on demand. FCB are subject to open commitments such as uncleared checks and exclude proceeds from sales of certificated securities without delivery of the certificate. If your FCB is swept to a core position, you can liquidate the core position and have the proceeds sent to you or held in your account subject to the terms of your account agreement. Required rule 10b-10(a) information not contained herein will be provided on written request. Fidelity may use this free credit balance in connection with its business, subject to applicable law.

Credit Adjustment Program. Accountholders receiving payments in lieu of qualified dividends may not be eligible to receive credit adjustments intended to help cover additional associated federal tax burdens. NFS reserves the right to deny the adjustment to any account holder and to amend or terminate the credit adjustment program.

Options Customers. Each transaction confirmation previously delivered to you contains full information about commissions and other charges. If you require further information, please contact your broker-dealer.

Assignments of American and European-style options are allocated among customer short positions pursuant to a random allocation procedure, a description of which is available upon request. Short positions in American-style options are liable for assignment at any time. The writer of a European-style option is subject to exercise assignment only during the exercise period. You should advise your broker-dealer promptly of any material change in your investment objectives or financial situation. Splits, Dividends, and Interest. Expected stock split, next dividend payable, and next interest payable information has been provided by third parties and may be subject to change. Information for certain securities may be missing if not received from third parties in time for printing. NFS is not responsible for inaccurate, incomplete, or missing information. Please consult your broker-dealer for more information about expected stock split, next dividend payable, and next interest payable for certain securities.

Equity Dividend Reinvestment Customers. Shares credited to your brokerage account resulted from transactions effected as agent by either: 1) Your broker-dealer for your investment account, or 2) through the Depository Trust Company (DTC) dividend reinvestment program. For broker-dealer effected transactions, the time of the transactions, the exchange upon which these transactions occurred and the name of the person from whom the security was purchased will be furnished upon written request. NFS may have acted as market maker in effecting trades in "over-the-counter" securities.

Retirement Contributions/Distributions. A summary of retirement contributions/distributions is displayed for you in the activity summary section of your statement. Income Reporting. NFS reports earnings from investments in Traditional IRAs, Rollover IRAs, SEP-IRAs and Keoghs as tax-deferred income. Earnings from Roth IRAs are reported as tax-free income, since distributions may be tax-free after meeting the 5 year aging requirement and certain other conditions. A financial statement of NFS is available for your personal inspection at its office or a copy of it will be mailed to you upon your written request.

Statement Mailing. NFS will deliver statements by mail or, if applicable, notify you by e-mail of your statement's availability. If you had transactions that affected your cash balances or security positions held in your account(s) during the last monthly reporting period. At a minimum, all brokerage customers will receive quarterly statements (at least four times per calendar year) as long as their accounts contain a cash or securities balance.

Loads and Fees. In connection with (i) access to, purchase or redemption of, and/or maintenance of positions in mutual funds and other investment products ("funds") or (ii) infrastructure needed to support such funds, some funds, or their investment affiliates, pay your introducing broker dealer and/or NFS sales loads and 12b-1 fees

Royal Alliance Associates, Inc.

MIN _CEBGRBCPBBDDXPG_BB8BBB 20190329

This page is left intentionally blank

UNITED STATES BANKRUPTCY COURT
SOUTHERN DISTRICT OF NEW YORK

X
:
:
In Re : Chapter 11
Case No. 18-23538 (RDD)

SEARS HOLDING CORPORATION, et al.,

Debtors

(Jointly Administered)

X

Response to objection by Sears Holding to Proofs of Claims (Reclassifying Claims)

Claim # 17476/USD 50,000.

JAMES GEE
171 Radcliff Dr. East
East Norwich, NY 11732

Please do not allow Sears Corporation to (i)reclassify to general unsecured claims,
as I own second lien PIK notes and purchased these specifically based they were
secured bonds.



Scott M. Fitzgerald/Authorized Agent
President
Steel Ridge Advisors
1377 Motor Pkwy, Suite 204
Islandia, NY 11749
sfitzgerald@steelridgeadvisors.com
(631) 353-0003

11/5/2021

Contact 844.384.4460 Client Login



Sears Holdings Corporation (18-23538)

[CHANGE CASE](#)

[Case Info](#) [Docket](#) [Claims](#) [Submit a Claim](#) [Submit Inquiry](#)

[Search Docket](#) [Search Claim](#)

Schedule	Claim #	Filed Date	Creditor Name	Debtor Name	Claim value
	17476	04/10/2019	Gee, James	Sears Holdings Corporation	\$ 50,000.00

Select scope

Claims Only

Claim Number(s)(e.g. 1,3,5-7)

17476

Schedule Number

Creditor name

Debtor(s)

Sears Holdings Corporation(18-23538)

Select Classification

Select an Option

Select Search Operator

Select an Option

Amount

Date from

Date to

-

[Search Claim](#)

[Reset](#)

Creditor Data Details for Claim # 17476

Creditor
Gee, James

Date Filed
04/10/2019

Debtor Name
Sears Holdings Corporation
Schedule Number

Claim Number
17476
Proof of Claim
[View PDF](#) [Email PDF](#)

	Schedule Amount 'CUD'	Asserted Claim Amount 'C'UF'	Current Claim Status Claim Value
General Unsecured			
Priority			
Secured		\$50,000.00	\$50,000.00 Asserted
503(b)(9) Admin Priority			
Admin Priority			
Total	\$0.00	\$50,000.00	\$50,000.00

'C'=Contingent, U=Unliquidated, D=Disputed, F=Foreign

Prime Clerk maintains this website for the public's convenience and for general informational purposes only. Anyone using this website is cautioned NOT to rely on any information contained on this Website, and any user of this website should not take or refrain from taking any action based upon anything included or not included on this website. We are not a law firm or a substitute for

[Open in new window](#)

Page 1 of 1

20

View 1 of 1

[Home](#) [Leadership](#) [Disclaimer](#) [Terms & Conditions](#)

©2016 Prime Clerk. All rights reserved.



Sears Holdings Corporation (18-23538)

[CHANGE CASE](#)

Contact 844.384.4460

[Client Login](#)

[Case Info](#) [Docket](#) [Claims](#) [Submit a Claim](#) [Submit Inquiry](#)

[Search Docket](#) [Search Claim](#)

Schedule	Claim #	Filed Date	Creditor Name	Debtor Name	Claim Value
	17476	04/10/2019	Gee, James	Sears Holdings Corporation	\$ 50,000.00

Creditor Data Details for Claim # 17476

Creditor
Gee, James

Date Filed
04/10/2019

Debtor Name
Sears Holdings Corporation
Schedule Number

Claim Number
17476

Proof of Claim
[View PDF](#) [Email PDF](#)

Select scope

Claim Number(s)(e.g. 1,3,5-7)

Schedule Number

Creditor name

Debtor(s)

Select Classification

Select Search Operator

Amount

Date from

Date to

[Search Claim](#)

[Reset](#)

	Schedule Amount 'CUD'	Asserted Claim Amount 'U'	Current Claim Status Claim Value
General Unsecured			
Priority			
Secured		\$50,000.00	\$50,000.00 Asserted
503(b)(9) Admin Priority			
Admin Priority			
Total	\$0.00	\$50,000.00	\$50,000.00

*C=Contingent, U=Unliquidated, D=Disputed, F=Foreign

Prime Clerk maintains this website for the public's convenience and for general informational purposes only. Anyone using this website is cautioned NOT to rely on any information contained on this Website, and any user of this website should not take or refrain from taking any action based upon anything included or not included on this website. We are not a law firm or a substitute for

[Open in new window](#)

Page 1 of 1

20

View 1 - 1 of 1

[Home](#) [Leadership](#) [Disclaimer](#) [Terms & Conditions](#)

©2016 Prime Clerk. All rights reserved.

Fill in this information to identify the case (Select only one Debtor per claim form):

<input checked="" type="checkbox"/> Sears Holdings Corporation (18-23538)	<input type="checkbox"/> Kmart Corporation (18-23549)	<input type="checkbox"/> Sears, Roebuck de Puerto Rico, Inc. (18-23561)	<input type="checkbox"/> MyGofer LLC (18-23573)	<input type="checkbox"/> Kmart.com LLC (18-23585)
<input type="checkbox"/> Sears, Roebuck and Co. (18-23537)	<input type="checkbox"/> MaxServ, Inc. (18-23550)	<input type="checkbox"/> SYW Relay LLC (18-23562)	<input type="checkbox"/> Sears Brands Business Unit Corporation (18-23574)	<input type="checkbox"/> Sears Brands Management Corporation (18-23586)
<input type="checkbox"/> Kmart Holding Corporation (18-23539)	<input type="checkbox"/> Private Brands, Ltd. (18-23551)	<input type="checkbox"/> Wally Labs LLC (18-23563)	<input type="checkbox"/> Sears Holdings Publishing Company, LLC (18-23575)	<input type="checkbox"/> SHC Licensed Business LLC (18-23616)
<input type="checkbox"/> Kmart Operations LLC (18-23540)	<input type="checkbox"/> Sears Development Co. (18-23552)	<input type="checkbox"/> Big Beaver of Florida Development, LLC (18-23564)	<input type="checkbox"/> Kmart of Michigan, Inc. (18-23576)	<input type="checkbox"/> SHC Promotions LLC (18-23630)
<input type="checkbox"/> Sears Operations LLC (18-23541)	<input type="checkbox"/> Sears Holdings Management Corporation (18-23553)	<input type="checkbox"/> California Builder Appliances, Inc. (18-23565)	<input type="checkbox"/> SHC Desert Springs, LLC (18-23577)	<input type="checkbox"/> SRe Holding Corporation (19-22301)
<input type="checkbox"/> ServiceLive, Inc. (18-23542)	<input type="checkbox"/> Sears Home & Business Franchises, Inc. (18-23554)	<input type="checkbox"/> Florida Builder Appliances, Inc. (18-23566)	<input type="checkbox"/> SOE, Inc. (18-23578)	
<input type="checkbox"/> A&E Factory Service, LLC (18-23543)	<input type="checkbox"/> Sears Home Improvement Products, Inc. (18-23555)	<input type="checkbox"/> KBL Holding Inc. (18-23567)	<input type="checkbox"/> StarWest, LLC (18-23579)	
<input type="checkbox"/> A&E Home Delivery, LLC (18-23544)	<input type="checkbox"/> Sears Insurance Services, L.L.C. (18-23556)	<input type="checkbox"/> KLC, Inc. (18-23568)	<input type="checkbox"/> STI Merchandising, Inc. (18-23580)	
<input type="checkbox"/> A&E Lawn & Garden, LLC (18-23545)	<input type="checkbox"/> Sears Procurement Services, Inc. (18-23557)	<input type="checkbox"/> Sears Protection Company (Florida), L.L.C. (18-23569)	<input type="checkbox"/> Troy Coolidge No. 13, LLC (18-23581)	
<input type="checkbox"/> A&E Signature Service, LLC (18-23546)	<input type="checkbox"/> Sears Protection Company (18-23558)	<input type="checkbox"/> Kmart of Washington LLC (18-23570)	<input type="checkbox"/> BlueLight.com, Inc. (18-23582)	
<input type="checkbox"/> FBA Holdings Inc. (18-23547)	<input type="checkbox"/> Sears Protection Company (PR) Inc. (18-23559)	<input type="checkbox"/> Kmart Stores of Illinois LLC (18-23571)	<input type="checkbox"/> Sears Brands, L.L.C. (18-23583)	
<input type="checkbox"/> Innovel Solutions, Inc. (18-23548)	<input type="checkbox"/> Sears Roebuck Acceptance Corp. (18-23560)	<input type="checkbox"/> Kmart Stores of Texas LLC (18-23572)	<input type="checkbox"/> Sears Buying Services, Inc. (18-23584)	

Proof of Claim

04/16

Read the instructions before filling out this form. This form is for making a claim for payment in a bankruptcy case. Do not use this form to make a request for payment of an administrative expense, other than a claim entitled to administrative priority pursuant to 11 U.S.C. § 503(b)(9). Make such a request according to 11 U.S.C. § 503.

Filers must leave out or redact information that is entitled to privacy on this form or on any attached documents. Attach redacted copies of any documents that support the claim, such as promissory notes, purchase orders, invoices, itemized statements of running accounts, contracts, judgments, mortgages, and security agreements. Do not send original documents; they may be destroyed after scanning. If the documents are not available, explain in an attachment.

A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

Fill in all the information about the claim as of the date the case was filed. That date is on the notice of bankruptcy (Form 309) that you received.

Part 1: Identify the Claim

1. Who is the current creditor?	JAMES GEE Name of the current creditor (the person or entity to be paid for this claim) Other names the creditor used with the debtor	
2. Has this claim been acquired from someone else?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. From whom?	
3. Where should notices and payments to the creditor be sent? Federal Rule of Bankruptcy Procedure (FRBP) 2002(g)	Where should notices to the creditor be sent? 171 RADCLIFF DR EAST EAST NORWICH, NY 11732 Contact phone 516-922-7779 Contact email lmichpg@aol.com	Where should payments to the creditor be sent? (if different) NATIONAL FINANCIAL SERVICES C/O ROYAL ALLIANCE 10 EXCHANGE PLAZA SUITE 1410 JERSEY CITY, NJ 07302 RQV-003835 Contact phone 631-353-0003 Contact email sftzgerald@steelridgeadvisors.com
4. Does this claim amend one already filed?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. Claim number on court claims registry (if known) Filed on MM / DD / YYYY	
5. Do you know if anyone else has filed a proof of claim for this claim?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. Who made the earlier filing?	

Part 2: Give Information About the Claim as of the Date the Case Was Filed

6. Do you have any number you use to identify the debtor? ☐ No ☒ Yes. Last 4 digits of the debtor's account or any number you use to identify the debtor: 8 9 1 5

7. How much is the claim? \$ 50,000.00 Does this amount include interest or other charges? ☒ No ☐ Yes. Attach statement itemizing interest, fees, expenses, or other charges required by Bankruptcy Rule 3001(c)(2)(A).

8. What is the basis of the claim? Examples: Goods sold, money loaned, lease, services performed, personal injury or wrongful death, or creditcard. Attach redacted copies of any documents supporting the claim required by Bankruptcy Rule 3001(c). Limit disclosing information that is entitled to privacy, such as health care information.

9. Is all or part of the claim secured? ☐ No ☒ Yes. The claim is secured by a lien on property.
Nature of property:
☐ Real estate. If the claim is secured by the debtor's principal residence, file a *Mortgage Proof of Claim Attachment* (Official Form 410-A) with this *Proof of Claim*.
☐ Motor vehicle
☒ Other. Describe: SEARS HLDGS CORP. 6 5/8% SENIOR SECURED NOTE

Basis for perfection: 10/15/18
Attach redacted copies of documents, if any, that show evidence of perfection of a security interest (for example, a mortgage, lien, certificate of title, financing statement, or other document that shows the lien has been filed or recorded.)

Value of property: \$ _____

Amount of the claim that is secured: \$ _____

Amount of the claim that is unsecured: \$ _____ (The sum of the secured and unsecured amounts should match the amount in line 7.)

Amount necessary to cure any default as of the date of the petition: \$ _____

Annual Interest Rate (when case was filed) _____ %

☐ Fixed
☐ Variable

10. Is this claim based on a lease? ☒ No ☐ Yes. Amount necessary to cure any default as of the date of the petition. \$ _____

11. Is this claim subject to a right of setoff? ☒ No ☐ Yes. Identify the property: _____

12. Is all or part of the claim entitled to priority under 11 U.S.C. § 507(a)? ☒ No
☐ Yes. Check one:

A claim may be partly priority and partly nonpriority. For example, in some categories, the law limits the amount entitled to priority.

☐ Domestic support obligations (including alimony and child support) under 11 U.S.C. § 507(a)(1)(A) or (a)(1)(B). Amount entitled to priority \$ _____

☐ Up to \$2,850* of deposits toward purchase, lease, or rental of property or services for personal, family, or household use. 11 U.S.C. § 507(a)(7). \$ _____

☐ Wages, salaries, or commissions (up to \$12,850*) earned within 180 days before the bankruptcy petition is filed or the debtor's business ends, whichever is earlier. 11 U.S.C. § 507(a)(4). \$ _____

☐ Taxes or penalties owed to governmental units. 11 U.S.C. § 507(a)(8). \$ _____

☐ Contributions to an employee benefit plan. 11 U.S.C. § 507(a)(5). \$ _____

☐ Other. Specify subsection of 11 U.S.C. § 507(a)() that applies. \$ _____

* Amounts are subject to adjustment on 4/01/19 and every 3 years after that for cases begun on or after the date of adjustment.

13. Is all or part of the claim entitled to administrative priority pursuant to 11 U.S.C. § 503(b)(9)? ☒ No
☐ Yes. Indicate the amount of your claim arising from the value of any goods received by the Debtor within 20 days before the date of commencement of the above case, in which the goods have been sold to the Debtor in the ordinary course of such Debtor's business. Attach documentation supporting such claim. \$ _____

Part 3: Sign Below

The person completing this proof of claim must sign and date it. FRBP 9011(b).

If you file this claim electronically, FRBP 5005(a)(2) authorizes courts to establish local rules specifying what a signature is.

A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

Check the appropriate box:

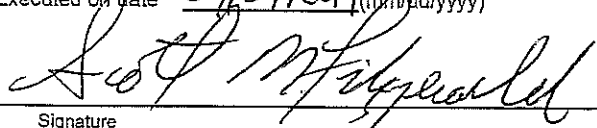
- ☐ I am the creditor.
☒ I am the creditor's attorney or authorized agent.
☐ I am the trustee, or the debtor, or their authorized agent. Bankruptcy Rule 3004.
☐ I am a guarantor, surety, endorser, or other codebtor. Bankruptcy Rule 3005.

I understand that an authorized signature on this *Proof of Claim* serves as an acknowledgment that when calculating the amount of the claim, the creditor gave the debtor credit for any payments received toward the debt.

I have examined the information in this *Proof of Claim* and have a reasonable belief that the information is true and correct.

I declare under penalty of perjury that the foregoing is true and correct.

Executed on date 04/09/2019 (mm/dd/yyyy)


Signature

Print the name of the person who is completing and signing this claim:

Name of the person who is completing and signing this claim:

Name SCOTT M FITZGERALD
First name Middle name Last name

Title PRESIDENT

Company STEEL RIDGE ADVISORS
Identify the corporate servicer as the company if the authorized agent is a servicer.

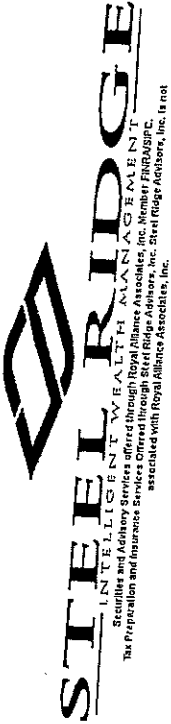
Address 1377 MOTOR PKWY, SUITE 204
Number Street

ISLANDIA NY 11749
City State ZIP Code

Contact phone 631-353-0003 Email sfitzgerald@steelridgeadvisors.com

ENV# CEBGVZZFBBCXCKP BBBBC
ROYAL ALLIANCE ASSOCIATES INC.
10 EXCHANGE PLACE, SUITE 1410
JERSEY CITY, NJ 07302

NFS/FMTC ROLLOVER IRA
FBO JAMES GEE
171 RADCLIFF DR EAST
EAST NORWICH NY 11732



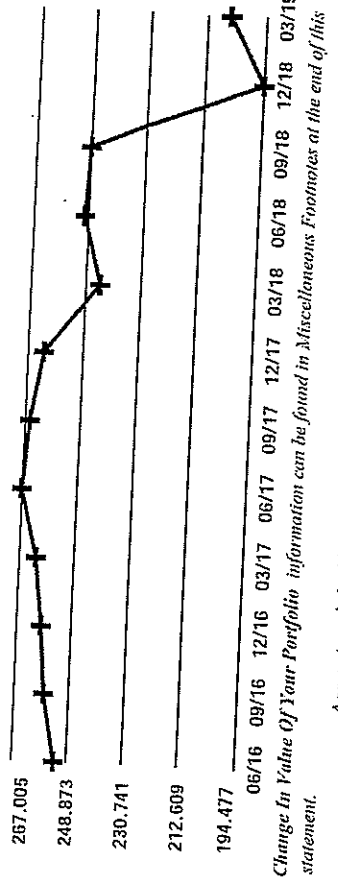
STATEMENT FOR THE PERIOD MARCH 1, 2019 TO MARCH 31, 2019
JAMES GEE - Premiere Select Rollover IRA
Account Number: RQV-003835

YOUR FINANCIAL ADVISOR IS:
SCOTT FITZGERALD
RR#: AZP

For questions about your accounts:
Local: 631 353 0003
In-State: 631 353 0003
National: 631 353 0003

TOTAL VALUE OF YOUR PORTFOLIO **\$205,603.83**
Your portfolio contains unpriced positions. Refer to Holdings in this statement for more information.

CHANGE IN VALUE OF YOUR PORTFOLIO
\$ thousands



Royal Alliance Associates, Inc.

MN_CEBGVZZFBBCXCKP BBBBC 30190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
JAMES GEE - Premiere Select Rollover IRA
Account Number: RQV-003835

Account Overview

CHANGE IN ACCOUNT VALUE	Current Period	Year-to-Date
BEGINNING VALUE		
Additions and Withdrawals	\$209,069.26	\$194,477.42
Income	(\$1,221.00)	(\$3,663.00)
Taxes, Fees and Expenses	\$299.74	\$1,804.96
Change in Value	(\$407.00)	(\$1,221.00)
ENDING VALUE (AS OF 03/31/19)	(\$2,137.17)	\$14,205.45
Total Accrued Interest	\$205,603.83	\$205,603.83
Total Pending Accrued Dividends	\$244.79	
Ending Value with Accrued Interest and Dividends	\$222.67	
	\$206,071.29	

Refer to Miscellaneous Footnotes for more information on Change in Value.

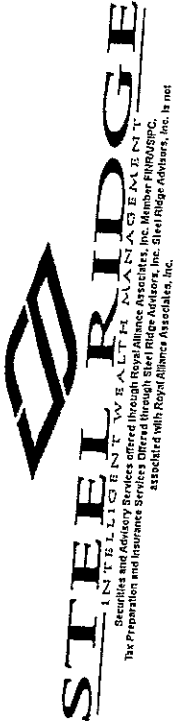
Pending dividends and stock distributions reflect projected values only, are subject to change and may not represent the actual amount, if any, that you may receive. This information is provided for informational purposes only and should not be relied on for tax reporting or other purposes.

RETIREMENT CONTRIBUTIONS/DISTRIBUTIONS

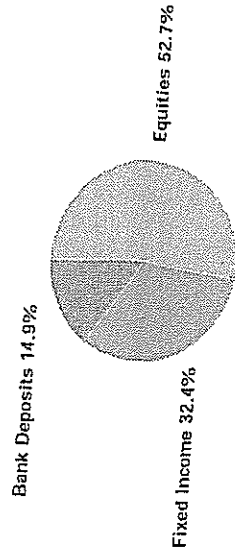
CONTRIBUTIONS	Current Period	Year-to-Date
For Current Year 2019	\$0.00	\$0.00
For Prior Year 2018	\$0.00	\$0.00
DISTRIBUTIONS		
For Current Year 2019	(\$1,221.00)	(\$3,663.00)
Federal Withholding	(\$407.00)	(\$1,221.00)
TOTAL DISTRIBUTIONS AND WITHHOLDINGS	(\$1,628.00)	(\$4,884.00)

Royal Alliance Associates, Inc.

MN_CEBGVZZFBRCXCKP_BBBBC 20190329



ACCOUNT ALLOCATION



	Percent	Prior Period	Current Period
Money Markets	0.0 %	\$32,194.95	\$0.00
Bank Deposits	14.9	\$0.00	\$30,587.47
Equities	52.7	\$106,195.56	\$108,383.22
Fixed Income	32.4	\$70,678.75	\$66,633.14
TOTAL	100.0 %	\$209,069.26	\$205,603.83

Account Allocation shows the percentage that each asset class represents of your total account value. Account Allocation for equities, fixed income, and other categories may include mutual funds and may be net of short positions. NFS has made assumptions concerning how certain mutual funds are allocated. Closed-end mutual funds and Exchange Traded Products (ETPs) listed on an exchange may be included in the equity allocation. The chart may not reflect your actual portfolio allocation. Consult your broker-dealer prior to making investment decisions.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
JAMES GEE - Premiere Select Rollover IRA
Account Number: RQV-003835

Account Overview continued

REQUIRED MINIMUM DISTRIBUTION (RMD)

2019 RMD for this account Total This Year
\$7,873.58

Your RMD amount was calculated using the IRS Uniform Life Expectancy Table. Refer to
Miscellaneous Footnotes at the end of this statement for more information.

	Current Period	Year-to-Date
INCOME		
Dividends	\$296.35	\$865.65
Interest	\$3.39	\$737.77
Capital Gain	\$0.00	\$201.54
TOTAL INCOME	\$299.74	\$1,804.96

All income is tax deferred until it is distributed from the account.

	Current Period	Year-to-Date
TAXES, FEES AND EXPENSES		
Federal Tax Withheld	(\$407.00)	(\$1,221.00)
TOTAL TAXES, FEES AND EXPENSES	(\$407.00)	(\$1,221.00)

MESSAGES AND ALERTS

DRS - Direct Registration System Transfer Agent Fee Effective May 1, 2014, three transfer agents, Computershare, Wells Fargo, and Registrar and Transfer Company are implementing a \$15 transfer fee for each position moved into your brokerage account via book entry Direct Registration System - DRS. If the fee is charged by the agent, NFS will pass through the charge to the account. As a reminder, there is already an existing fee charged to accounts for outgoing DRS transfers. Please contact your Financial Advisor if you have any questions regarding this fee.

National Financial Services LLC NFS is required by the Securities Exchange Act of 1934 to provide certain financial information from its Statement of Financial Condition. At December 31, 2018, NFS, an affiliate of Fidelity Brokerage Services LLC, had net capital of \$4.012 million, which was 13.67 percent of aggregate debit items and exceeded its minimum requirement by \$3,425 million. To acquire the Statement of Financial Condition, log on to www.mybrokerageinfo.com. If you wish to obtain a copy of this document at no cost, please call 800-439-5627.

Royal Alliance Associates, Inc.

MN_CEBGVZZPBRXCCKP_BBBC 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC



Statement for the Period March 1, 2019 to March 31, 2019
JAMES GEE - Premiere Select Rollover IRA
Account Number: RQV-003835



Account Overview *continued*

MESSAGES AND ALERTS *continued*

Beginning in January 2019, National Financial Services will enhance the end-investor statement with the following changes. Payee details will be displayed within Activity Sections Description field for transactions that have associated Payee information. A summary level total of Short Dividends charged will be reported within the Account Overview section. Change in Value of Your Portfolio graph will show minimum and maximum scaling on the Y axis, include Negative values and, use clearer data points for information displayed.

Royal Alliance Associates, Inc.

MN_CEBGVZHHBCXCKP_BBBC 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019

JAMES GEE - Premiere Select Rollover IRA
Account Number: RQV-003835



Holdings

AI (Accrued Interest) - Represents interest accumulated since the last coupon date, but not yet paid by the issuer or received by NFS. There is no guarantee that AI will be paid by the issuer.
For additional information regarding your holdings, please refer to the footnotes at the end of the statement.

CASH AND CASH EQUIVALENTS - 14.88% of Total Account Value

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income
Bank Deposits					
Bank deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). Funds used to purchase or sweep to a bank deposit are SIPC protected until deposited to a Program Bank at which time funds may be eligible for FDIC insurance. Customers are responsible for monitoring their total deposits at each Program Bank to determine the extent of available FDIC insurance. Refer to the Bank Deposit Detail section which appears later in this statement for information on the banks holding your deposits. If your account was established on the last business day of this month, your statement will not include a Bank Deposit Detail section.					
ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED)	QACQ CASH	30,587.47	\$1.00	\$30,587.47	
Estimated Annual Yield 0.20%					
Total Cash and Cash Equivalents				\$30,587.47	

HOLDINGS > EQUITIES - 24.05% of Total Account Value

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income
Equity					
CHUBB LIMITED COM NPV ISIN #CH0044328745	CB CASH	305.027	\$140.08	\$42,728.18	\$890.68
Estimated Yield 2.08%					
Dividend Option Reinvest					
Capital Gain Option Reinvest					
GENERAL MTRS CO COM	GM CASH	121.358	\$37.10	\$4,502.38	\$184.46
Estimated Yield 4.09%					
Dividend Option Reinvest					
Capital Gain Option Reinvest					
LEHMAN BROS HLDGS CAP TR III PFD K	LEHK CASH	700	\$0.1301	\$91.07	
6.37500% 03/15/2052					
CPN PMT QUARTERLY					

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member NYSE, SIPC

MN_CEBGVZZBHCXCKP_BBBBC 20190329

Statement for the Period March 1, 2019 to March 31, 2019
JAMES GEE - Premiere Select Rollover IRA
Account Number: RQV-003835



HOLDINGS > EQUITIES *continued*

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income
LEHMAN BROS HLDGS CAP TR III PFD K CALLABLE ON 06/15/2019 @ 25.0000	LEHKQ	<i>continued</i>			
MOTORS LIQUIDATION COMPANY UNIT BEN INT	MTLQU CASH	25	\$9.72	\$243.00	
GENERAL MTRS CO WTS EXP 07/10/2019	GMWSB CASH	97	\$19.44	\$1,885.68	
Total Equity				\$49,450.31	\$1,075.14
Total Equities				\$49,450.31	\$1,075.14

HOLDINGS > FIXED INCOME - 17.58% of Total Account Value

For an explanation of fixed income pricing, please see the last page. Redemption schedule(s), bond rating(s), and other information are provided where available. If information does not appear regarding a particular investment, it is not available. The ratings on this statement are provided by Standard & Poor's and/or Moody's to rate the quality based on the respective rating agency's assessment. Ratings information from Standard & Poor's ("S&P") may not be reproduced. S&P credit ratings are statements of opinion and are not statements of fact or recommendations to purchase, hold, or sell securities, nor do they address the suitability of securities for investment purposes, and should not be relied on as investment advice. S&P does not guarantee the accuracy, completeness, timeliness or availability of any information, including ratings, and is not responsible for errors or omissions (negligent or otherwise). S&P gives no express or implied warranties, including but not limited to any warranties of merchantability or fitness for a particular purpose or use. S&P shall not be liable for any direct, indirect, incidental, exemplary, compensatory, punitive, special or consequential damages, costs, expenses, legal fees, or losses (including lost income or profits and opportunity costs) in connection with any use of ratings.

Corporate Bonds

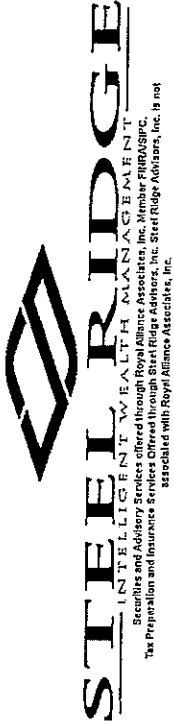
Description	Symbol/Cusip Account Type	Quantity	Estimated Price on 03/31/19	Estimated Current Market Value	Estimated Annual Income
SEARS HLDGS CORP NOTE CALL MAKE WHOLE 6.62500% 10/15/2018 MOODY'S WR CPN PMT SEMI-ANNUAL ON OCT 15, APR 15 CONTINUOUSLY CALLABLE IN MONETARY DEFAULT	812350AEG CASH	50,000	\$12.00	\$6,000.00	
GCB GENERAL MOTORS BOND 08.25000% 07/15/2023 ISIN #US370ESCBW49 *4TH DISTRIBUTION** CPN PMT SEMI-ANNUAL ON JAN 15, JUL 15	370ESCBW4 CASH	25,000	unavailable	unavailable	

Royal Alliance Associates, Inc.

MN_CEBGVZFPBXCCKP_BBBBC 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
JAMES GEE - Premiere Select Rollover IRA
Account Number: RQV-003835



HOLDINGS > FIXED INCOME *continued*

Description	Symbol/Cusip Account Type	Quantity	Estimated Price on 03/31/19	Estimated Current Market Value	Estimated Annual Income
MARSH & MCLENNAN COS INC NOTE 5.875000% 08/01/2023	571748AK8 CASH	25,000	\$120.588	\$30,147.00	\$1,468.75
MOODY'S Baa1 /S&P A- CPN PMT SEMI-ANNUAL ON FEB 01, AUG 01					
Next Interest Payable: 08/01/19					
Accrued Interest \$244.79					
Total Corporate Bonds		100,000		\$36,147.00	\$1,468.75
Total Fixed Income		100,000		\$36,147.00	\$1,468.75

HOLDINGS > MUTUAL FUNDS - 43.49% of Total Account Value

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income
Equity					
FIDELITY ADVISOR NEW INSIGHTS CL C	FNICX CASH	1,222.241	\$25.97	\$31,741.60	
Dividend Option Reinvest					
Capital Gain Option Reinvest					
OPPENHEIMER EQUITY INC CL C	OCEIX CASH	1,203.688	\$22.59	\$27,191.31	\$563.15
Estimated Yield 2.07%					
Dividend Option Reinvest					
Capital Gain Option Reinvest					
Total Equity				\$58,932.91	\$563.15
Fixed Income					
DWS HIGH INCOME FUND-A	KHYAX CASH	3,537.889	\$4.66	\$16,486.56	\$889.43
Estimated Yield 5.39%					
Dividend Option Reinvest					
Capital Gain Option Reinvest					

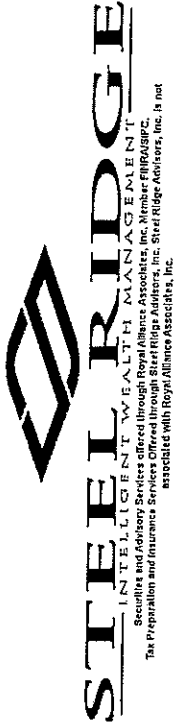
Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member NYSE, SIPC

MN_CEBGVZZFBBCXCKP_BBBBC 20190329

Statement for the Period March 1, 2019 to March 31, 2019

JAMES GEE - Premiere Select Rollover IRA
Account Number: RQV-003835



HOLDINGS > MUTUAL FUNDS *continued*

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income
PUTNAM DIVERSIFIED INCOME TRUST CLASS A	PDINX	2,049.719	\$6.83	\$13,999.58	\$682.56
Estimated Yield 4.87%	CASH				
Dividend Option Reinvest					
Capital Gain Option Reinvest					
Total Fixed Income				\$30,486.14	\$1,571.99
Total Mutual Funds				\$89,419.05	\$2,135.14
Total Securities				\$175,016.36	\$4,679.03
TOTAL PORTFOLIO VALUE				\$205,603.83	\$4,679.03

Activity

PURCHASES, SALES, AND REDEMPTIONS

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
Securities Purchased					
03/20/19	CASH	REINVESTMENT	PUTNAM DIVERSIFIED INCOME TRUST CLASS A REINVEST @ \$6.8400	7.762	(\$53.09)
03/21/19	CASH	REINVESTMENT	OPPENHEIMER EQUITY INC CL C REINVEST @ \$22.8100	4.67	(\$106.52)
03/22/19	CASH	REINVESTMENT	GENERAL MTRS CO COM REINVEST @ \$37.1209 TRADE DATE 03-20-19	1.23	(\$45.65)
03/25/19	CASH	REINVESTMENT	DWS HIGH INCOME FUND-A REINVEST @ \$4.6400	15.94	(\$73.98)
Total Securities Purchased					(\$279.22)

Securities Sold

Royal Alliance Associates, Inc.

MN_CEBGVZZFBBCXCKP_BB3BC 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
JAMES GEE - Premiere Select Rollover IRA
Account Number: RQV-003835



PURCHASES, SALES, AND REDEMPTIONS *continued*

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
03/11/19	CASH	YOU SOLD	FIDELITY GOVT MKKT DAILY MONEY CLASS FZBX TO QAGCQ	(32,194.95)	\$32,194.95
Total Securities Sold					\$32,194.95

ACTIVITY > CORE FUND ACTIVITY

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
03/11/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) QAGCQ IS LIQUID	32,194.95	(\$32,194.95)
03/15/19	CASH	YOU SOLD	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) @ 1	(1,628)	\$1,628.00
03/29/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) @ 1	17.13	(\$17.13)
03/29/19	CASH	REINVESTMENT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) NET INT REINVEST	3.39	(\$3.39)
TOTAL CORE FUND ACTIVITY					(\$30,587.47)

ACTIVITY > ADDITIONS AND WITHDRAWALS > RETIREMENT DISTRIBUTIONS

Date	Account Type	Transaction	Description	Quantity	Amount
Retirement Distributions					
03/15/19	CASH	NORMAL DISTR PARTIAL	NORMAL DISTR PARTIAL ED97692702 VALLEY NATIONAL BANK *****6771		(\$1,221.00)
Total Retirement Distributions					(\$1,221.00)
TOTAL ADDITIONS AND WITHDRAWALS					(\$1,221.00)

Royal Alliance Associates, Inc.

MN_CEBGVZZFBRCXCKP_BBBBC 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
JAMES GEE - Premiere Select Rollover IRA
Account Number: RQV-003835



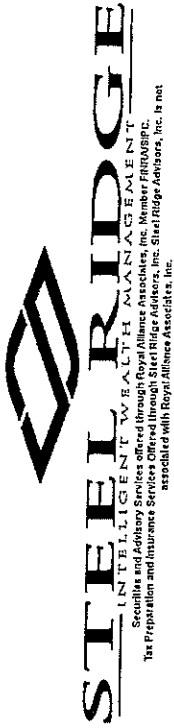
ACTIVITY > INCOME

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
Dividends					
03/20/19	CASH	DIVIDEND RECEIVED	PUTNAM DIVERSIFIED INCOME TRUST CLASS A		\$53.09
03/21/19	CASH	DIVIDEND RECEIVED	OPPENHEIMER EQUITY INC CL C		\$106.52
03/22/19	CASH	DIVIDEND RECEIVED	GENERAL MTRS CO COM		\$45.65
03/25/19	CASH	DIVIDEND RECEIVED	DWS HIGH INCOME FUND-A		\$73.96
03/29/19	CASH	DIVIDEND RECEIVED	FIDELITY GOVT MMKT DAILY MONEY CLASS DIVIDEND RECEIVED		\$17.13
Total Dividends					\$296.35
Interest					
03/29/19	CASH	INTEREST RECEIVED	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED)		\$3.39
Total Interest					\$3.39
TOTAL INCOME					\$299.74

ACTIVITY > TAXES, FEES AND EXPENSES

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
Federal Tax Withheld					
03/15/19	CASH	FED TAX WH	RET FED WTH ED97692702		(\$407.00)
Total Federal Tax Withheld					(\$407.00)
TOTAL TAXES, FEES AND EXPENSES					(\$407.00)

Statement for the Period March 1, 2019 to March 31, 2019
JAMES GEE - Premiere Select Rollover IRA
Account Number: RQV-003835



ACTIVITY > PENDING DISTRIBUTIONS

Pending dividends and stock distributions reflect projected values only, are subject to change and may not represent the actual amount, if any, that you may receive. This information is provided for informational purposes only and should not be relied on for tax reporting or other purposes.

Symbol/Cusip	Security Description	Eligible Quantity	Rate	Payment Amount
Pending Accrued Dividends				
CB	CHUBB LIMITED COM NPV ISIN #CH0044328745	305.027	\$0.73	\$222.67
Total Pending Accrued Dividends				\$222.67

ACTIVITY > BANK DEPOSIT DETAIL

Bank deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). Customers are responsible for monitoring their total deposits at each Program Bank to determine the extent of available FDIC insurance. Your Ending Balance at each Program Bank as of the end of this statement period is shown below. If you participate in a Bank Deposit Sweep Program and also hold a Bank Deposit Direct Investment, the Bank Deposit Detail section lists banks and ending balances for both programs. Funds pending settlement reflect deposits to (credit) or withdrawals from (debit) a Program Bank. Subject to the terms of the applicable bank deposit disclosure, customers are reminded that funds are deposited to a Program Bank on the business day following the date that funds are credited to your account and until swept to a Program Bank, funds are covered by SIPC.

Bank	Beginning Balance	Ending Balance
Capital One Bank	\$0.00	\$30,570.34
Current Month's Pending Settlement		\$17.13
Total Bank Deposits	\$0.00	\$30,587.47

Miscellaneous Footnotes

CHANGE IN VALUE OF YOUR PORTFOLIO is the change in market value of your portfolio assets over the time period shown. The portfolio assets include the market value of all the securities in the account, plus insurance and annuity assets if applicable. The time frame of the graph is from account opening or September 2011, whichever is later, to the current period. Please note that large increases and/or declines in the change in the value of the portfolio can be due to additions, distribution and/or performance.

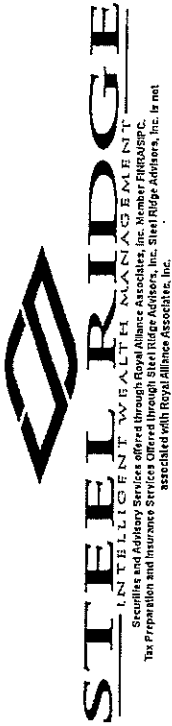
CHANGE IN VALUE reflects appreciation or depreciation of your holdings due to price changes plus any activity not reflected within Additions and Withdrawals, Income, Taxes, Fees and Expenses, and Other Activity sections. Change in Value does not reflect activity related to assets in which NRS is not the custodian (e.g. Insurance and Annuities, Assets Held Away and Other Assets Held Away).

Royal Alliance Associates, Inc.

MN_CEBGVZZFBRCXCKP_BBBBC 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
JAMES GEE - Premiere Select Rollover IRA
Account Number: RQV-003835



Miscellaneous Footnotes *continued*

REQUIRED MINIMUM DISTRIBUTION - As required by the Internal Revenue Service (IRS) and noted on your Form 5498, you must take minimum required distributions (RMD) by April 1st of the calendar year following the year in which you turn 70 1/2. Subsequent withdrawals must be completed by December 31st every year thereafter. The RMD Amount for this account was calculated based upon your primary beneficiary information as of January 1st of the current calendar year, your life expectancy factor taken from the IRS Uniform Life Expectancy Table, and the prior year end value of your retirement account. If your beneficiary information changed during the calendar year, your RMD calculation may be impacted. The calculation is based on information submitted to NFS by your broker/dealer. You are responsible for withdrawing RMDs on a timely basis, otherwise tax penalties may apply. You must calculate your RMD separately for each IRA you have at NFS and at any other financial institution. The RMD may be satisfied from this account or any other existing IRAs. If you need additional information or have any questions on how the RMD is calculated, please consult IRS Publication 590 or a tax professional.

CALLABLE SECURITIES LOTTERY - When street name or bearer securities held for you are subject to a partial call or partial redemption by the issuer, NFS may or may not receive an allocation of called/redeemed securities by the issuer, transfer agent and/or depository. If NFS is allocated a portion of the called/redeemed securities, NFS utilizes an impartial lottery allocation system, in accordance with applicable rules, that randomly selects the securities within customer accounts that will be called/redeemed. NFS' allocations are not made on a pro rata basis and it is possible for you to receive a full or partial allocation, or no allocation. You have the right to withdraw uncalled fully paid securities at any time prior to the cutoff date and time established by the issuer, transfer agent and/or depository with respect to the partial call, and also to withdraw excess margin securities provided your account is not subject to restriction under Regulation T or such withdrawal will not cause an undermargined condition.

PRICING INFORMATION - Prices displayed are obtained from sources that may include pricing vendors, broker/dealers who clear through NFS and/or other sources. Prices may not reflect current fair market value and/or may not be readily marketable or redeemable at the prices shown.

FOREIGN EXCHANGE TRANSACTIONS - Some transaction types necessitate a foreign currency exchange (FX) in order to settle. FX transactions may be effected by Fidelity Forex, Inc. on a principal basis. Fidelity Forex, Inc., an affiliate of NFS, may impose a commission or markup on the prevailing interbank market price, which may result in a higher price to you. Fidelity Forex, Inc. may share a portion of any FX commission or markup with NFS. More favorable rates may be available through third parties not affiliated with NFS. The rate applicable to any transaction involving an FX is available upon request through your broker-dealer.

Royal Alliance Associates, Inc.

MN_CEBGVZZFBBXCCKP_BBBC 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

GLOSSARY Short Account Balances. If you have sold securities under the short sale rule, we have, in accordance with regulations, segregated the proceeds from such transactions in your Short Account. Any market increases or decreases from the original sale price will be marked to the market and will be transferred to your Margin Account on a weekly basis. **Market Value** - The Total Market Value has been calculated out to 9 decimal places. However, the individual unit price is displayed in 5 decimal places. The Total Market Value represents prices obtained from various sources, may be impacted by the frequency in which such prices are reported and such prices are not guaranteed. Prices received from pricing vendors are generally based on current market quotes, but when such quotes are not available the pricing vendors use a variety of techniques to estimate value. These estimates, particularly for fixed income securities, may be based on certain minimum principal amounts (e.g. \$1 million) and may not reflect all of the factors that affect the value of the security, including liquidity risk. The prices provided are not firm bids or offers. Certain securities may reflect "N/A" or "unavailable" where the price for such security is generally not available from a pricing source. The Market Value of a security, including those priced at par value, may differ from its purchase price and may not

CUSTOMER SERVICE: Please review your statement and report any inaccuracy or discrepancy immediately by calling the telephone number of your broker-dealer reflected on the front of this statement. Reports of any inaccuracy or discrepancy regarding your brokerage account or the activity therein should be directed to your broker-dealer at the telephone number and address reflected on the front of this statement and National Financial Services LLC ("NFS").

NFS carries your brokerage account and acts as your custodian for funds and securities that are deposited with NFS by you or your broker-dealer. In addition to your initial contact with your broker-dealer you may contact NFS at (800) 801-9942. Any oral communications regarding inaccuracies or discrepancies should be reconfirmed in writing to protect your rights, including those under the Securities Investor Protection Act ("SIPA"). When contacting either your broker-dealer or NFS, remember to include your entire brokerage account number to ensure a prompt reply.

ADDITIONAL INFORMATION Free credit balances ("FCB") are funds payable to you on demand. FCB are subject to open commitments such as uncleared checks and exclude proceeds from sales of certificated securities without delivery of the certificate. If your FCB is swept to a core position, you can liquidate the core position and have the proceeds sent to you or held in your account subject to the terms of your account agreement. Required rule 10b-10(a) information not contained herein will be provided on written request. Fidelity may use this free credit balance in connection with its business, subject to applicable law.

Credit Adjustment Program. Accountholders receiving payments in lieu of qualified dividends may not be eligible to receive credit adjustments intended to help cover additional associated federal tax burdens. NFS reserves the right to deny the adjustment to any accountholder and to amend or terminate the credit adjustment program.

Options Customers. Each transaction confirmation previously delivered to you contains full information about commissions and other charges. If you require further information, please contact your broker-dealer.

Assignments of American and European-style options are allocated among customer short positions pursuant to a random allocation procedure, a description of which is available upon request. Short positions in American-style options are liable for assignment at any time. The writer of a European-style option is subject to exercise assignment only during the exercise period. You should advise your broker-dealer promptly of any

material change in your investment objectives or financial situation. **Splits, Dividends, and Interest.** Expected stock split, next dividend payable, and next interest payable information has been provided by third parties and may be subject to change. Information for certain securities may be missing if not received from third parties in time for printing. NFS is not responsible for inaccurate, incomplete, or missing information. Please consult your broker-dealer for more information about expected stock split, next dividend payable, and next interest payable for certain securities.

Equity Dividend Reinvestment Customers. Shares credited to your brokerage account resulted from transactions effected as agent by either: (1) Your broker-dealer for your investment account, or (2) through the Depository Trust Company (DTC) dividend reinvestment program. For broker-dealer effected transactions, the time of the transactions, the exchange upon which these transactions occurred and the name of the person from whom the security was purchased will be furnished upon written request. NFS may have acted as market maker in effecting trades in "over-the-counter" securities.

Retirement Contributions/Distributions. A summary of retirement contributions/distributions is displayed for you in the activity summary section of your statement. **Income Reporting.** NFS reports earnings from investments in Traditional IRAs, Rollover IRAs, SEP-IRAs and, Keoghs as tax-deferred income. Earnings from Roth IRAs are reported as tax-free income, since distributions may be tax-free after meeting the 5 year aging requirement and certain other conditions. A financial statement of NFS is available for your personal inspection at its office or a copy of it will be mailed to you upon your written request.

Statement Mailing. NFS will deliver statements by mail or, if applicable, notify you by e-mail of your statement's availability. If you had transactions that affected your cash balances or security positions held in your account(s) during the last monthly reporting period. At a minimum, all brokerage customers will receive quarterly statements (at least four times per calendar year) as long as their accounts contain a cash or securities balance.

Loads and Fees. In connection with (i) access to, purchase or redemption of, and/or maintenance of positions in mutual funds and other investment products ("funds") or (ii) infrastructure needed to support such funds, some funds, or their investment affiliates, pay you introducing broker dealer and/or NFS sales loads and 12b-1 fees

Royal Alliance Associates, Inc.

MN _CEBGVZZFBRCXCKP_BBBBC 20190329

closely reflect the value at which the security may be sold or purchased based on various market factors. Investment decisions should be made only after consulting your broker-dealer.

Estimated Annual Income (EAI) & Estimated Yield (EY) - EAI for fixed income is calculated using the coupon rate. For all other securities, EAI is calculated using an indicated annual dividend (IAD). The IAD is an estimate of a security's dividend payments for the next 12 months calculated based on prior and/or declared dividends for that security. EY reflects only the income generated by an investment and not changes in its price which may fluctuate. Interest and dividend rates are subject to change at any time and may be affected by current and future economic, political and business conditions. EAI and EY are estimates only and may include return of principal and/or capital gains, which would render them overstated. EAI and EY are provided for informational purposes only and should not be used or relied on for making investment, trading or tax decisions. EAI and EY are based on data obtained from information providers believed to be reliable, but no assurance can be made as to accuracy, timeliness or completeness.

described in the prospectus as well as additional compensation for shareholder services, start-up fees, infrastructure support and maintenance, and other programs. Additional information about the source(s) and amount(s) of compensation as well as other remuneration received by your introducing broker dealer and/or NFS will be furnished to you upon written request. At time of purchase, fund shares may be assigned a load transaction fee or no transaction fee status. At time of sale, any fees applicable to your transaction will be assessed based on the status assigned to the shares at time of purchase. **Margin.** If you have applied for margin privileges and been approved, you may borrow money from NFS in exchange for pledging the assets in your account as collateral for any outstanding margin loan. The amount you may borrow is based on the value of securities in your margin account, which is identified on your statement. If you have a margin account, this is a combined statement of your margin account and special memorandum account other than your non-purpose margin accounts maintained for you under Section 220.5 of Regulation T issued by the Board of Governors of the Federal Reserve Board. The permanent record of the separate account, as required by Regulation T, is available for your inspection upon request. **NYSE and FINRA.** All transactions are subject to the constitution, rules, regulations, customs, usages, rulings and interpretations of the exchange market and its clearing house, if any, where the transactions are executed, and of the New York Stock Exchange (NYSE) and of the Financial Industry Regulatory Authority ("FINRA"). The FINRA requires that we notify you in writing of the availability of an investor brochure that includes information describing FINRA Regulation's BrokerCheck Program ("Program"). To obtain a brochure or more information about the Program or FINRA Regulation, contact the FINRA Regulation BrokerCheck Program Hotline at (800) 289-9999 or access the FINRA's web site at www.finra.org. **FINRA Rule 4311** requires that your broker-dealer and NFS allocate between them certain functions regarding the administration of your brokerage account. The following is a summary of the allocation services performed by your broker-dealer and NFS. A more complete description is available upon request. **Your broker-dealer is responsible for:** (1) obtaining and verifying brokerage account information and documentation, (2) opening, approving and monitoring your brokerage account, (3) transmitting timely and accurate orders and instructions to NFS with respect to your brokerage account, (4) determining the suitability of investment recommendations and advice, (5) operating, and supervising your brokerage account and its own activities in compliance with applicable laws and regulations including compliance with margin rules pertaining to your margin account, if applicable, and (6) maintaining required books and records for the services that it performs. **NFS shall, at the direction of your broker-dealer:** (1) execute, clear and settle transactions processed through NFS by your broker-dealer, (2) prepare and send transaction confirmations and periodic statements of your brokerage account (unless your broker-dealer has undertaken to do so). Certain securities pricing and descriptive information may be provided by your broker-dealer or obtained from third parties deemed to be reliable, however, this information has not been verified by NFS, (3) act as custodian for funds and securities received by NFS on your behalf, (4) follow the instructions of your broker-dealer with respect to transactions and the receipt and delivery of funds and securities for your brokerage account, and (5) extend margin credit for purchasing or carrying securities on margin. Your broker-dealer is responsible for ensuring that your brokerage account is in compliance with federal, industry and NFS margin rules, and for advising you of margin requirements. NFS shall maintain the required books and records for the services it performs. **Securities in accounts carried by NFS are protected in accordance with the Securities Investor Protection Corporation ("SIPC")** up to \$500,000. The \$500,000 total amount of SIPC protection is inclusive of up to \$250,000 protection for claims for cash, subject to periodic adjustments for inflation in accordance with terms of the SIPC statute and approval by SIPC's Board of Directors. NFS also has arranged for coverage above these limits. Neither coverage protects against a decline in the market value of securities, nor does either coverage extend to certain securities that are considered ineligible for coverage. For more details on SIPC, or to request a SIPC brochure, visit www.sipc.org or call 1-202-371-8300. Funds held to purchase or sweep to a bank deposit are SIPC protected until deposited to a Program Bank at which time funds may be eligible for FDIC insurance. Assets Held Away, commodities, unregistered investment contracts, futures accounts, loaned securities and other investments may not be covered. Precious metals are not covered by SIPC protection. Mutual funds and/or other securities are not backed or guaranteed by any bank, nor are they insured by the FDIC and involve investment risk including possible loss of principal.

End of Statement

722239.7.0

Account carried with National Financial Services LLC, Member
NYSE, SIPC

This page is left intentionally blank

UNITED STATES BANKRUPTCY COURT
SOUTHERN DISTRICT OF NEW YORK

_____	X	
	:	Chapter 11
	:	
In Re	:	Case No. 18-23538 (RDD)

SEARS HOLDING CORPORATION, et al.,

Debtors

(Jointly Administered)

_____X

Response to objection by Sears Holding to Proofs of Claims (Reclassifying Claims)

Claim # 17491/USD 10,000.

RONALD E COLE/MARTHA E COLE
608 Airdale Ln
Simpsonville, SC 29680

Please do not allow Sears Corporation to (i)reclassify to general unsecured claims,
as I own second lien PIK notes and purchased these specifically based they were
secured bonds.



Scott M. Fitzgerald/Authorized Agent
President

Steel Ridge Advisors

1377 Motor Pkwy, Suite 204

Islandia, NY 11749

sfitzgerald@steelridgeadvisors.com

(631) 353-0003

11/5/2021



Contact 844.384.4460 Client Login



Sears Holdings Corporation (18-23538)

[CHANGE CASE](#)

[Case Info](#) [Docket](#) [Claims](#) [Submit a Claim](#) [Submit Inquiry](#)

[Search Docket](#) [Search Claim](#)

Schedule	Claim #	Filed Date	Creditor Name	Debtor Name	Claim value
	17491#	04/10/2019	Cole, Ronald E. and Martha E.	Sears Holdings Corporation	\$ 10,000.00

Select scope

Claim Number(s)(e.g. 1,3,5-7)

Schedule Number

Creditor name

Debtor(s)

Select Classification

Select Search Operator

Amount

Date from

Date to

-

[Search Claim](#)

[Reset](#)

Creditor Data Details for Claim # 17491

Creditor
Cole, Ronald E. and Martha E.

Date Filed
04/10/2019

Debtor Name
Sears Holdings Corporation
Schedule Number

Claim Number
17491

Proof of Claim
[View PDF](#) [Email PDF](#)

	Schedule Amount 'C'UD*	Asserted Claim Amount 'C'UF*	Current Claim Status Claim value
General Unsecured			
Priority			
Secured	\$0.00	\$10,000.00	\$10,000.00 Asserted
503(b)(9) Admin Priority			
Admin Priority			
Total	\$0.00	\$10,000.00	\$10,000.00

*C=Contingent, U=Unliquidated, D=Disputed, F=Foreign

Prime Clerk maintains this website for the public's convenience and for general informational purposes only. Anyone using this website is cautioned NOT to rely on any information contained on this website, and any user of this website should not take or refrain from taking any action based upon anything included or not included on this website. We are not a law firm or a substitute for

[Open In new window](#)

Page 1 of 1

20

View 1 - 1 of 1



Sears Holdings Corporation (18-23538)

CHANGE CASE

Case Info Docket Claims Submit a Claim Submit Inquiry

Contact \$44,384,460

Client Login

Search Docket Search Claim

Q Enter number or name

Schedule	Claim #	Filed Date	Creditor Name	Debtor Name	Claim value
	17491	04/10/2019	Cole, Ronald E. and Martha E.	Sears Holdings Corporation	\$ 10,000.00

Creditor Data Details for Claim # 17491

Creditor
Cole, Ronald E. and Martha E.

Date Filed
04/10/2019

Debtor Name
Sears Holdings Corporation
Schedule Number

Claim Number
17491

Proof of Claim
☒ View PDF ☐ Email PDF

Schedule Amount C*U*	Asserted Claim Amount C*U*	Current Claim Status Claim value
General Unsecured	\$10,000.00	\$10,000.00 Asserted
Priority		
Secured		
503(b)(9) Admin Priority		
Admin Priority		
Total	\$0.00	\$10,000.00 \$10,000.00

*C=Contingent, U=Unliquidated, D=Disputed, F=Foreign

Prime Clerk maintains this website for the public's convenience and for general informational purposes only. Anyone using this website is cautioned NOT to rely on any information contained on this Website, and any user of this website should not take or refrain from taking any action based upon anything included or not included on this website. We are not a law firm or a substitute for

Open in new window

Select scope

Claims Only

Claim Number(s)(e.g. 1,3,5-7)

17491

Schedule Number

Creditor name

Debtor(s)

Sears Holdings Corporation(18-23538)

Select Classification

Select an Option

Select Search Operator

Select an Option

Amount

Date from

Date to

Search Claim

Reset

Page 1 of 1

20

View 1 - 1 of 1

Home Leadership Disclaimer Terms & Conditions

©2016 Prime Clerk. All rights reserved.

Fill in this information to identify the case (Select only one Debtor per claim form):

<input checked="" type="checkbox"/> Sears Holdings Corporation (18-23538)	<input type="checkbox"/> Kmart Corporation (18-23549)	<input type="checkbox"/> Sears, Roebuck de Puerto Rico, Inc. (18-23561)	<input type="checkbox"/> MyGofer LLC (18-23573)	<input type="checkbox"/> Kmart.com LLC (18-23585)
<input type="checkbox"/> Sears, Roebuck and Co. (18-23537)	<input type="checkbox"/> MaxServ, Inc. (18-23550)	<input type="checkbox"/> SYW Relay LLC (18-23562)	<input type="checkbox"/> Sears Brands Business Unit Corporation (18-23574)	<input type="checkbox"/> Sears Brands Management Corporation (18-23586)
<input type="checkbox"/> Kmart Holding Corporation (18-23539)	<input type="checkbox"/> Private Brands, Ltd. (18-23551)	<input type="checkbox"/> Wally Labs LLC (18-23563)	<input type="checkbox"/> Sears Holdings Publishing Company, LLC (18-23575)	<input type="checkbox"/> SHC Licensed Business LLC (18-23616)
<input type="checkbox"/> Kmart Operations LLC (18-23540)	<input type="checkbox"/> Sears Development Co. (18-23552)	<input type="checkbox"/> Big Beaver of Florida Development, LLC (18-23564)	<input type="checkbox"/> Kmart of Michigan, Inc. (18-23576)	<input type="checkbox"/> SHC Promotions LLC (18-23630)
<input type="checkbox"/> Sears Operations LLC (18-23541)	<input type="checkbox"/> Sears Holdings Management Corporation (18-23553)	<input type="checkbox"/> California Builder Appliances, Inc. (18-23565)	<input type="checkbox"/> SHC Desert Springs, LLC (18-23577)	<input type="checkbox"/> SRe Holding Corporation (19-22301)
<input type="checkbox"/> ServiceLive, Inc. (18-23542)	<input type="checkbox"/> Sears Home & Business Franchises, Inc. (18-23554)	<input type="checkbox"/> Florida Builder Appliances, Inc. (18-23566)	<input type="checkbox"/> SOE, Inc. (18-23578)	
<input type="checkbox"/> A&E Factory Service, LLC (18-23543)	<input type="checkbox"/> Sears Home Improvement Products, Inc. (18-23555)	<input type="checkbox"/> KBL Holding Inc. (18-23567)	<input type="checkbox"/> StarWest, LLC (18-23579)	
<input type="checkbox"/> A&E Home Delivery, LLC (18-23544)	<input type="checkbox"/> Sears Insurance Services, L.L.C. (18-23556)	<input type="checkbox"/> KLC, Inc. (18-23568)	<input type="checkbox"/> STI Merchandising, Inc. (18-23580)	
<input type="checkbox"/> A&E Lawn & Garden, LLC (18-23545)	<input type="checkbox"/> Sears Procurement Services, Inc. (18-23557)	<input type="checkbox"/> Sears Protection Company (Florida), L.L.C. (18-23569)	<input type="checkbox"/> Troy Coolidge No. 13, LLC (18-23581)	
<input type="checkbox"/> A&E Signature Service, LLC (18-23546)	<input type="checkbox"/> Sears Protection Company (PR) Inc. (18-23559)	<input type="checkbox"/> Kmart of Washington LLC (18-23570)	<input type="checkbox"/> BlueLight.com, Inc. (18-23582)	
<input type="checkbox"/> FBA Holdings Inc. (18-23547)	<input type="checkbox"/> Sears Protection Company (PR) Inc. (18-23559)	<input type="checkbox"/> Kmart Stores of Illinois LLC (18-23571)	<input type="checkbox"/> Sears Brands, L.L.C. (18-23583)	
<input type="checkbox"/> Innovel Solutions, Inc. (18-23548)	<input type="checkbox"/> Sears Roebuck Acceptance Corp. (18-23560)	<input type="checkbox"/> Kmart Stores of Texas LLC (18-23572)	<input type="checkbox"/> Sears Buying Services, Inc. (18-23584)	

Proof of Claim

04/16

Read the instructions before filling out this form. This form is for making a claim for payment in a bankruptcy case. Do not use this form to make a request for payment of an administrative expense, other than a claim entitled to administrative priority pursuant to 11 U.S.C. § 503(b)(9). Make such a request according to 11 U.S.C. § 503.

Filers must leave out or redact information that is entitled to privacy on this form or on any attached documents. Attach redacted copies of any documents that support the claim, such as promissory notes, purchase orders, invoices, itemized statements of running accounts, contracts, judgments, mortgages, and security agreements. Do not send original documents; they may be destroyed after scanning. If the documents are not available, explain in an attachment.

A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

Fill in all the information about the claim as of the date the case was filed. That date is on the notice of bankruptcy (Form 309) that you received.

Part 1: Identify the Claim

1. Who is the current creditor?	RONALD E COLE / MARTHA E COLE Name of the current creditor (the person or entity to be paid for this claim) Other names the creditor used with the debtor	
2. Has this claim been acquired from someone else?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. From whom?	
3. Where should notices and payments to the creditor be sent? Federal Rule of Bankruptcy Procedure (FRBP) 2002(g)	Where should notices to the creditor be sent? 608 AIRDALE LN SIMPSONVILLE, SC 29680 Contact phone 864-228-7630 Contact email pennypussy1937@gmail.com	Where should payments to the creditor be sent? (if different) NATIONAL FINANCIAL SERVICES C/O ROYAL ALLIANCE 10 EXCHANGE PLAZA SUITE 1410 JERSEY CITY, NJ 07302 RQV-003813 Contact phone 631-353-0003 Contact email sftzgerald@steelridgeadvisors.com
4. Does this claim amend one already filed?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. Claim number on court claims registry (if known) Filed on MM / DD / YYYY	
5. Do you know if anyone else has filed a proof of claim for this claim?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. Who made the earlier filing?	

Part 2: Give Information About the Claim as of the Date the Case Was Filed

6. Do you have any number you use to identify the debtor? ☐ No
☒ Yes. Last 4 digits of the debtor's account or any number you use to identify the debtor: 4 6 1 2

7. How much is the claim? \$ 10,000.00. Does this amount include interest or other charges?
☒ No
☐ Yes. Attach statement itemizing interest, fees, expenses, or other charges required by Bankruptcy Rule 3001(c)(2)(A).

8. What is the basis of the claim? Examples: Goods sold, money loaned, lease, services performed, personal injury or wrongful death, or credit card.
Attach redacted copies of any documents supporting the claim required by Bankruptcy Rule 3001(c).
Limit disclosing information that is entitled to privacy, such as health care information.

9. Is all or part of the claim secured? ☐ No
☒ Yes. The claim is secured by a lien on property.
Nature of property:
☐ Real estate. If the claim is secured by the debtor's principal residence, file a *Mortgage Proof of Claim Attachment* (Official Form 410-A) with this *Proof of Claim*.
☐ Motor vehicle
☒ Other. Describe: SEARS HLDGS CORP. 6 5/8% SENIOR SECURED NOTE Debt
10/15/18
Basis for perfection: _____
Attach redacted copies of documents, if any, that show evidence of perfection of a security interest (for example, a mortgage, lien, certificate of title, financing statement, or other document that shows the lien has been filed or recorded.)
Value of property: \$ _____
Amount of the claim that is secured: \$ _____
Amount of the claim that is unsecured: \$ _____ (The sum of the secured and unsecured amounts should match the amount in line 7.)
Amount necessary to cure any default as of the date of the petition: \$ _____
Annual Interest Rate (when case was filed) _____ %
☐ Fixed
☐ Variable

10. Is this claim based on a lease? ☒ No
☐ Yes. Amount necessary to cure any default as of the date of the petition. \$ _____

11. Is this claim subject to a right of setoff? ☒ No
☐ Yes. Identify the property: _____

12. Is all or part of the claim entitled to priority under 11 U.S.C. § 507(a)?

- ☒ No
☐ Yes. Check one:

A claim may be partly priority and partly nonpriority. For example, in some categories, the law limits the amount entitled to priority.

- ☐ Domestic support obligations (including alimony and child support) under 11 U.S.C. § 507(a)(1)(A) or (a)(1)(B).
☐ Up to \$2,850* of deposits toward purchase, lease, or rental of property or services for personal, family, or household use. 11 U.S.C. § 507(a)(7).
☐ Wages, salaries, or commissions (up to \$12,850*) earned within 180 days before the bankruptcy petition is filed or the debtor's business ends, whichever is earlier. 11 U.S.C. § 507(a)(4).
☐ Taxes or penalties owed to governmental units. 11 U.S.C. § 507(a)(8).
☐ Contributions to an employee benefit plan. 11 U.S.C. § 507(a)(5).
☐ Other. Specify subsection of 11 U.S.C. § 507(a)() that applies.

Amount entitled to priority

\$ _____

\$ _____

\$ _____

\$ _____

\$ _____

\$ _____

* Amounts are subject to adjustment on 4/01/19 and every 3 years after that for cases begun on or after the date of adjustment.

13. Is all or part of the claim entitled to administrative priority pursuant to 11 U.S.C. § 503(b)(9)?

☒ No

- ☐ Yes. Indicate the amount of your claim arising from the value of any goods received by the Debtor within 20 days before the date of commencement of the above case, in which the goods have been sold to the Debtor in the ordinary course of such Debtor's business. Attach documentation supporting such claim.

\$ _____

Part 3: Sign Below

The person completing this proof of claim must sign and date it. FRBP 9011(b).

If you file this claim electronically, FRBP 5005(a)(2) authorizes courts to establish local rules specifying what a signature is.

A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

Check the appropriate box:

- ☐ I am the creditor.
☒ I am the creditor's attorney or authorized agent.
☐ I am the trustee, or the debtor, or their authorized agent. Bankruptcy Rule 3004.
☐ I am a guarantor, surety, endorser, or other codebtor. Bankruptcy Rule 3005.

I understand that an authorized signature on this *Proof of Claim* serves as an acknowledgment that when calculating the amount of the claim, the creditor gave the debtor credit for any payments received toward the debt.

I have examined the information in this *Proof of Claim* and have a reasonable belief that the information is true and correct.

I declare under penalty of perjury that the foregoing is true and correct.

Executed on date 04/09/2011 (mm/dd/yyyy)

Signature

Print the name of the person who is completing and signing this claim:

Name of the person who is completing and signing this claim:

Name

SCOTT M FITZGERALD

First name

Middle name

Last name

Title

PRESIDENT

Company

STEEL RIDGE ADVISORS

Identify the corporate servicer as the company if the authorized agent is a servicer.

Address

1377 MOTOR PKWY, SUITE 204

Number

Street

ISLANDIA

NY

11749

City

State

ZIP Code

Contact phone

631-353-0003

Email

sfitzgerald@steelridgeadvisors.com

ENV# CEBGWBCPBBDPXPB BBBB
ROYAL ALLIANCE ASSOCIATES INC.
10 EXCHANGE PLACE, SUITE 1410
JERSEY CITY, NJ 07302

RONALD E COLE
MARTHA E COLE
608 AIRDALE LN
SIMPSONVILLE SC 29680



STATEMENT FOR THE PERIOD MARCH 1, 2019 TO MARCH 31, 2019

RONALD E COLE & MARTHA E COLE - Joint WROS
Account Number: RQV-003813

YOUR FINANCIAL ADVISOR IS:
SCOTT FITZGERALD
RR#: AZP

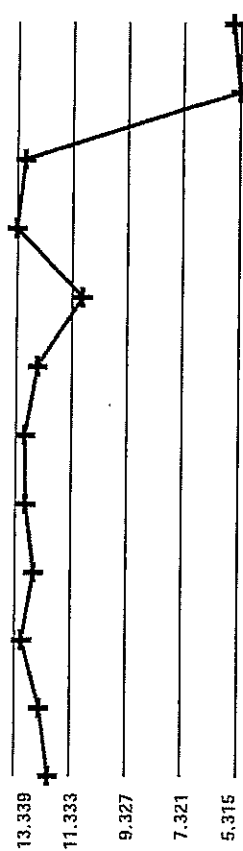
For questions about your accounts:
Local: 631 353 0003
In-State: 631 353 0003
National: 631 353 0003

TOTAL VALUE OF YOUR PORTFOLIO

\$5,578.61

CHANGE IN VALUE OF YOUR PORTFOLIO

\$ thousands



Change In Value Of Your Portfolio information can be found in Miscellaneous Footnotes at the end of this statement.

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDPXPB BBBB 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
RONALD E COLE & MARTHA E COLE - Joint WIROS
Account Number: RQV-003813

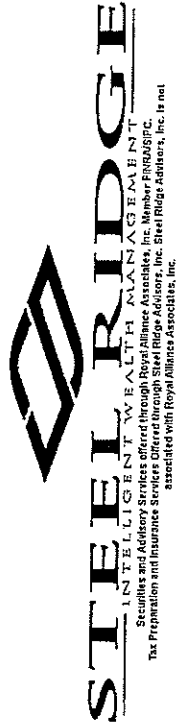
Account Overview

CHANGE IN ACCOUNT VALUE	Current Period	Year-to-Date
BEGINNING VALUE	\$6,576.16	\$5,315.48
Additions and Withdrawals	\$0.00	\$0.00
Income	\$2.45	\$13.13
Taxes, Fees and Expenses	\$0.00	\$0.00
Change in Value	(\$1,000.00)	\$250.00
ENDING VALUE (AS OF 03/31/19)	\$5,578.61	\$5,578.61

Refer to Miscellaneous Footnotes for more information on Change in Value.

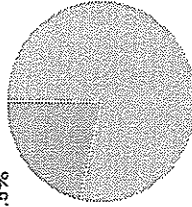
INCOME	Current Period	Year-to-Date
TAXABLE		
Taxable Dividends	\$2.00	\$12.68
Taxable Interest	\$0.45	\$0.45
TOTAL TAXABLE	\$2.45	\$13.13
TOTAL INCOME	\$2.45	\$13.13

Taxable income is determined based on information available to NFS at the time the statement was prepared, and is subject to change. Final information on taxation of interest and dividends is available on Form 1099-Div, which is mailed in February of the subsequent year.



ACCOUNT ALLOCATION

Corporate Bonds 21.5%



Bank Deposits 78.5%

	Percent	Prior Period	Current Period
Money Markets	0.0 %	\$4,376.16	\$0.00
Bank Deposits	78.5	\$0.00	\$4,378.61
Corporate Bonds	21.5	\$2,200.00	\$1,200.00
TOTAL	100.0 %	\$6,576.16	\$5,578.61

Account Allocation shows the percentage that each asset class represents of your total account value. Account Allocation for equities, fixed income, and other categories may include mutual funds and may be net of short positions. NFS has made assumptions concerning how certain mutual funds are allocated. Closed-end mutual funds and Exchange Traded Products (ETPs) listed on an exchange may be included in the equity allocation. The chart may not reflect your actual portfolio allocation. Consult your broker/dealer prior to making investment decisions.

Statement for the Period March 1, 2019 to March 31, 2019
RONALD E COLE & MARTHA E COLE - Joint WROS
Account Number: RQV-003813



Account Overview *continued*

MESSAGES AND ALERTS

DRS - Direct Registration System Transfer Agent Fee Effective May 1, 2014, three transfer agents, Computershare, Wells Fargo, and Registrar and Transfer Company are implementing a \$15 transfer fee for each position moved into your brokerage account via book entry Direct Registration System - DRS. If the fee is charged by the agent, NFS will pass through the charge to the account. As a reminder, there is already an existing fee charged to accounts for outgoing DRS transfers. Please contact your Financial Advisor if you have any questions regarding this fee.

Beginning in January 2019, National Financial Services will enhance the end-investor statement with the following changes. Payee details will be displayed within Activity Sections Description field for transactions that have associated Payee information. A summary level total of Short Dividends charged will be reported within the Account Overview section. Change in Value of Your Portfolio graph will show minimum and maximum scaling on the Y axis, include Negative values and, use clearer data points for information displayed.

National Financial Services LLC NFS is required by the Securities Exchange Act of 1934 to provide certain financial information from its Statement of Financial Condition. At December 31, 2018, NFS, an affiliate of Fidelity Brokerage Services LLC, had net capital of \$4,012 million, which was 13.67 percent of aggregate debit items and exceeded its minimum requirement by \$3,425 million. To acquire the Statement of Financial Condition, log on to www.mybrokerageinfo.com. If you wish to obtain a copy of this document at no cost, please call 800-439-5627.

Royal Alliance Associates, Inc.

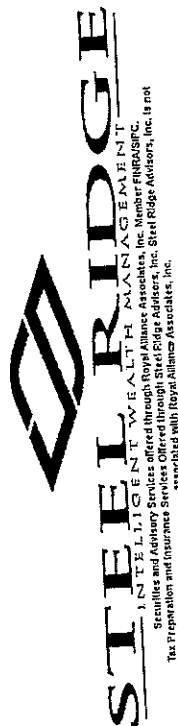
MN_CEBGWBCPBBDPXP_K_BBBB 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019

RONALD E COLE & MARTHA E COLE - Joint WROS

Account Number: RQV-003813



Holdings

Please refer to Footnotes and Cost Basis Information at the end of this statement for more information.

NFS-provided cost basis, realized gain (loss) and holding period information may not reflect all adjustments necessary for tax purposes.

For additional information regarding your holdings, please refer to the footnotes at the end of the statement.

CASH AND CASH EQUIVALENTS - 78.49% of Total Account Value

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Unrealized Gain (Loss)
Bank Deposits						
Bank deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). Funds used to purchase or sweep to a bank deposit are SIPC protected until deposited to a Program Bank at which time funds may be eligible for FDIC insurance. Customers are responsible for monitoring their total deposits at each Program Bank to determine the extent of available FDIC insurance. Refer to the Bank Deposit Detail section which appears later in this statement for information on the banks holding your deposits. If your account was established on the last business day of this month, your statement will not include a Bank Deposit Detail section.						
ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED)	QAGCQ CASH	4,378.61	\$1.00	\$4,378.61		
Estimated Annual Yield 0.19%				\$4,378.61		

Total Cash and Cash Equivalents

HOLDINGS > FIXED INCOME - 21.51% of Total Account Value

For an explanation of fixed income pricing, please see the last page. Redemption schedule(s), bond rating(s), and other information are provided where available. If information does not appear regarding a particular investment, it is not available. The ratings on this statement are provided by Standard & Poor's and/or Moody's to rate the quality based on the respective rating agency's assessment. Ratings information from Standard & Poor's ("S&P") may not be reproduced. S&P credit ratings are statements of opinion and are not statements of fact or recommendations to purchase, hold, or sell securities, nor do they address the suitability of securities for investment purposes, and should not be relied on as investment advice. S&P does not guarantee the accuracy, completeness, timeliness or availability of any information, including ratings, and is not responsible for errors or omissions (negligent or otherwise). S&P gives no express or implied warranties, including but not limited to any warranties of merchantability or fitness for a particular purpose or use. S&P shall not be liable for any direct, indirect, incidental, exemplary, compensatory, punitive, special or consequential damages, costs, expenses, legal fees, or losses (including lost income or profits and opportunity costs) in connection with any use of ratings.

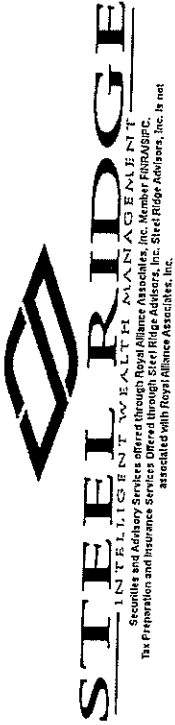
Description	Symbol/Cusip Account Type	Quantity	Estimated Price on 03/31/19	Estimated Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
Corporate Bonds							
SEARS HLDGS CORP NOTE CALL MAKE WHOLE 6.82500% 10/15/2018 MOODY'S WR CPN PMT SEMI-ANNUAL ON OCT 15, APR 15	812350AEG MARGIN	10,000	\$12.00	\$1,200.00		\$9,857.00	

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member NYSE, SIPC

BRRBB 20190329

Statement for the Period March 1, 2019 to March 31, 2019
RONALD E COLE & MARTHA E COLE - Joint WROS
Account Number: RQV-003813



HOLDINGS > FIXED INCOME *continued*

Description	Symbol/Cusip Account Type	Quantity	Estimated Price on 03/31/19	Estimated Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
SEARS HLDGS CORP NOTE CALL MAKE WHOLE CONTINUOUSLY CALLABLE IN MONETARY DEFAULT Average Unit Cost \$98.57 Adjusted Cost Basis	812350AE6	<i>continued</i>					
Total Fixed Income		10,000		\$1,200.00		\$9,857.00 D	(\$8,657.00)
Total Securities				\$1,200.00		\$9,857.00	(\$8,657.00)
TOTAL PORTFOLIO VALUE				\$5,578.61		\$9,857.00	(\$8,657.00)

Activity

NFS-provided cost basis, realized gain (loss) and holding period information may not reflect all adjustments necessary for tax purposes. Please refer to Footnotes and Cost Basis Information at the end of this statement for more information.

PURCHASES, SALES, AND REDEMPTIONS

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
03/11/19	CASH	YOU SOLD	FIDELITY GOVT MMKT CAPITAL RESERVES CL FZAXX TO QAGCQ	(4,376.16)	\$4,376.16
Total Securities Sold					\$4,376.16

ACTIVITY > CORE FUND ACTIVITY

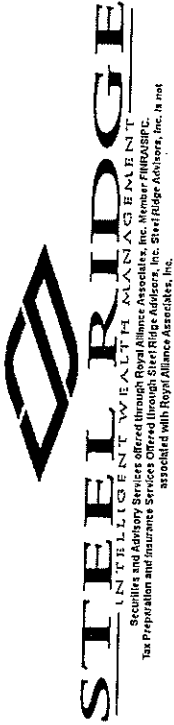
Settlement Date	Account Type	Transaction	Description	Quantity	Amount
03/11/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) QAGCQ IS LIQUID	4,376.16	(\$4,376.16)

Royal Alliance Associates, Inc.

MN_CEBGWBCPBDDPXP_K_BRRBB 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
RONALD E COLE & MARTHA E COLE - Joint WROS
Account Number: RQV-003813



ACTIVITY > CORE FUND ACTIVITY *continued*

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
03/29/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) @ 1	2	(\$2.00)
03/29/19	CASH	REINVESTMENT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) NET INT REINVEST	0.45	(\$0.45)
TOTAL CORE FUND ACTIVITY					(\$4,378.61)

ACTIVITY > INCOME > TAXABLE INCOME

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
Taxable Dividends					
03/29/19	CASH	DIVIDEND RECEIVED	FIDELITY GOVT MMKT CAPITAL RESERVES CL DIVIDEND RECEIVED		\$2.00
Total Taxable Dividends					\$2.00
Taxable Interest					
03/29/19	CASH	INTEREST RECEIVED	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED)		\$0.45
Total Taxable Interest					\$0.45
Total Taxable Income					\$2.45
TOTAL INCOME					\$2.45

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDPXPIC_BBBB 20190329

Account carried with National Financial Services LLC, Member NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
RONALD E COLE & MARTHA E COLE - Joint WROS
Account Number: RQV-003813



ACTIVITY > BANK DEPOSIT DETAIL

Bank deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). Customers are responsible for monitoring their total deposits at each Program Bank to determine the extent of available FDIC insurance. Your Ending Balance at each Program Bank as of the end of this statement period is shown below. If you participate in a Bank Deposit Sweep Program and also hold a Bank Deposit Direct Investment, the Bank Deposit Detail section lists banks and ending balances for both programs. Funds pending settlement reflect deposits to (credit) or withdrawals from (debit) a Program Bank. Subject to the terms of the applicable bank deposit disclosure, customers are reminded that funds are deposited to a Program Bank on the business day following the date that funds are credited to your account and until swept to a Program Bank, funds are covered by SIPC.

Bank	Beginning Balance	Ending Balance
TCF National Bank	\$0.00	\$4,376.61
Current Month's Pending Settlement		\$2.00
Total Bank Deposits	\$0.00	\$4,378.61

Footnotes and Cost Basis Information

Amortization, accretion and similar adjustments to cost basis have been provided for many fixed income securities (and some bond-like equities), however, they are not provided for certain types, such as short-term instruments, Unit Investment Trusts, foreign fixed income securities, or those that are subject to early prepayment of principal (pay downs). Where current year premium or acquisition premium amortization is provided, the prior years' cumulative amortization is reflected in the adjusted cost basis, but we cannot provide a breakdown of the total of such prior amortization amounts.

NFS is required to report certain cost basis and related information to the IRS on the Form 1099-B. Your official 1099-B forms for certain transactions will reflect which lots have been sold for tax purposes. To apply a specific identification cost basis method to 1099-B reporting, appropriate instructions must be on file with NFS or be received by NFS before the trade has settled. Absent such instructions, NFS determines cost basis at the time of sale based on its default methods of average cost for open-end mutual funds and first-in, first-out (FIFO) for all other (including ETFs) unless your broker dealer has elected to use another default method. NFS applies FIFO (or other disposal method, if applicable) based on its records, which may be different from yours. For transactions that are not subject to 1099-B cost basis reporting, you should refer to your trade confirmations and other applicable records to determine which lots were considered sold for tax purposes.

While NFS must meet IRS requirements with respect to certain information required to be reported to the IRS, NFS-provided cost basis, realized gain and loss, and holding period information may not reflect all adjustments necessary for your tax reporting purposes. NFS makes no warranties with respect to and specifically disclaims any liability arising out of a customer's use of, or any tax position taken in reliance upon, such information.

For investments in partnerships, NFS does not make any adjustments to cost basis information as the calculation of basis in such investments requires supplemental information from the partnership on its income and distributions during the period you held your investment. Partnerships usually provide this additional information on a Form K-1 issued by April 15th of the following year.

Consult your tax advisor for further information.

D - Adjusted cost basis reflects any cumulative original issue discount, premium, or acquisition premium, and it assumes such amounts were amortized by the taxpayer over the life of the security from acquisition date through disposition date. For securities still held, maturity date was used instead of disposition date. Premium amortization was calculated using the yield-to-maturity method. Acquisition premium was calculated using the ratable accrual method. If applicable, adjusted cost basis reflects market discount accretion which was calculated using the straight-line method and was recognized at disposition date. Gain/loss displayed for this transaction was based on cost basis as adjusted for premium and discount as stated above and does not reflect any losses disallowed because of wash sales (if applicable). The adjusted cost basis may not reflect all adjustments necessary for tax reporting purposes and may also not apply if you are using an alternative amortization calculation method. Refer to IRS Publication 550, Investment Income and Expenses, for additional information.

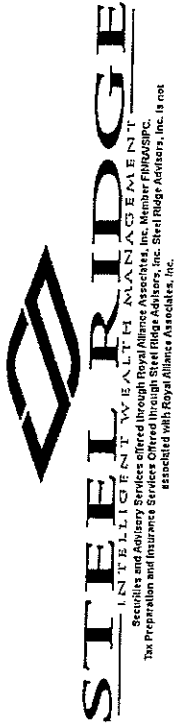
If a sale, redemption or other disposition involved multiple tax lots, the transaction's totals may have been calculated using a combination of adjusted and unadjusted cost basis information. For lots where adjusted cost basis and its associated gain/loss are known, that was used, otherwise "regular" unadjusted cost basis and its associated gain/loss was used.

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEBGWBCPBBDPXP_K_BBBB 20190329

Statement for the Period March 1, 2019 to March 31, 2019
RONALD E COLE & MARTHA E COLE - Joint WROS
Account Number: RQV-003813



Miscellaneous Footnotes

CHANGE IN VALUE OF YOUR PORTFOLIO is the change in market value of your portfolio assets over the time period shown. The portfolio assets include the market value of all the securities in the account, plus insurance and annuity assets if applicable. The time frame of the graph is from account opening or September 2011, whichever is later, to the current period. Please note that large increases and/or declines in the change in the value of the portfolio can be due to additions, distribution and/or performance.

CHANGE IN VALUE reflects appreciation or depreciation of your holdings due to price changes plus any activity not reflected within Additions and Withdrawals, Income, Taxes, Fees and Expenses, and Other Activity sections. Change in Value does not reflect activity related to assets in which NFS is not the custodian (e.g. Insurance and Annuities, Assets Held Away and Other Assets Held Away).

CALLABLE SECURITIES LOTTERY - When street name or bearer securities held for you are subject to a partial call or partial redemption by the issuer, NFS may or may not receive an allocation of called/redemmed securities by the issuer, transfer agent and/or depository. If NFS is allocated a portion of the called/redemmed securities, NFS utilizes an impartial lottery allocation system. In accordance with applicable rules, that randomly selects the securities within customer accounts that will be called/redemmed. NFS' allocations are not made on a pro rata basis and it is possible for you to receive a full or partial allocation, or no allocation. You have the right to withdraw uncalled fully paid securities at any time prior to the cutoff date and time established by the issuer, transfer agent and/or depository with respect to the partial call, and also to withdraw excess margin securities provided your account is not subject to restriction under Regulation T or such withdrawal will not cause an undermargined condition.

PRICING INFORMATION - Prices displayed are obtained from sources that may include pricing vendors, broker/dealers who clear through NFS and/or other sources. Prices may not reflect current fair market value and/or may not be readily marketable or redeemable at the prices shown.

FOREIGN EXCHANGE TRANSACTIONS - Some transaction types necessitate a foreign currency exchange (FX) in order to settle. FX transactions may be effected by Fidelity Forex, Inc. on a principal basis, Fidelity Forex, Inc., an affiliate of NFS, may impose a commission or markup on the prevailing interbank market price, which may result in a higher price to you. Fidelity Forex, Inc. may share a portion of any FX commission or markup with NFS. More favorable rates may be available through third parties not affiliated with NFS. The rate applicable to any transaction involving an FX is available upon request through your broker-dealer.

COST BASIS LEGISLATION - New IRS Rules will require National Financial Services to report cost basis and holding period information for the sale of shares of open end Mutual Fund holdings purchased on or after January 1, 2012 on Form 1099-B. National Financial Services determines the cost basis for all shares of open end mutual funds using a default method of average cost. Alternatively, account owners or their brokers and advisors can instruct National Financial Services to determine the cost basis for shares of open end mutual funds by 1) setting up their non-retirement accounts with one of our eleven tax lot disposal methods available to investors or 2) identifying specific tax lots to sell at the time of a transaction. Contact your broker or advisor to learn more about the cost basis tracking of your holdings.

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN _CEBGWBPCBPBBDPXP_K_BBBB 20190329

GLOSSARY Short Account Balances-if you have sold securities under the short sale rule, we have, in accordance with regulations, segregated the proceeds from such transactions in your Short Account. Any market increases or decreases from the original sale price will be marked to the market and will be transferred to your Margin Account on a weekly basis. **Market Value** - The Total Market Value has been calculated out to 9 decimal places. However, the individual unit price is displayed in 5 decimal places. The Total Market Value represents prices obtained from various sources, may be impacted by the frequency in which such prices are reported and such prices are not guaranteed. Prices received from pricing vendors are generally based on current market quotes, but when such quotes are not available the pricing vendors use a variety of techniques to estimate value. These estimates, particularly for fixed income securities, may be based on certain minimum principal amounts (e.g. \$1 million) and may not reflect all of the factors that affect the value of the security, including liquidity risk. The prices provided are not firm bids or offers. Certain securities may reflect "N/A" or "unavailable" where the price for such security is generally not available from a pricing source. The Market Value of a security, including those priced at par value, may differ from its purchase price and may not

CUSTOMER SERVICE: Please review your statement and report any inaccuracy or discrepancy immediately by calling the telephone number of your broker-dealer reflected on the front of this statement. Reports of any inaccuracy or discrepancy regarding your brokerage account or the activity therein should be directed to your broker-dealer at the telephone number and address reflected on the front of this statement and National Financial Services LLC ("NFS").

NFS carries your brokerage account and acts as your custodian for funds and securities that are deposited with NFS by you or your broker-dealer. In addition to your initial contact with your broker-dealer you may contact NFS at (800) 801-9942. Any oral communications regarding inaccuracies or discrepancies should be reconfirmed in writing to protect your rights, including those under the Securities Investor Protection Act ("SIPA"). When contacting either your broker-dealer or NFS, remember to include your entire brokerage account number to ensure a prompt reply.

ADDITIONAL INFORMATION Free credit balances ("FCB") are funds payable to you on demand. FCB are subject to open commitments such as uncleared checks and exclude proceeds from sales of certificated securities without delivery of the certificate. If your FCB is swept to a core position, you can liquidate the core position and have the proceeds sent to you or held in your account subject to the terms of your account agreement. Required rule 10b-10(a) information not contained herein will be provided on written request. Fidelity may use this free credit balance in connection with its business, subject to applicable law.

Credit Adjustment Program. Accountholders receiving payments in lieu of qualified dividends may not be eligible to receive credit adjustments intended to help cover additional associated federal tax burdens. NFS reserves the right to deny the adjustment to any account holder and to amend or terminate the credit adjustment program.

Options Customers. Each transaction confirmation previously delivered to you contains full information about commissions and other charges. If you require further information, please contact your broker-dealer.

Assignments of American and European-style options are allocated among customer short positions pursuant to a random allocation procedure, a description of which is available upon request. Short positions in American-style options are liable for assignment at any time. The writer of a European-style option is subject to exercise assignment only during the exercise period. You should advise your broker-dealer promptly of any material change in your investment objectives or financial situation.

Splits, Dividends, and Interest. Expected stock split, next dividend payable, and next interest payable information has been provided by third parties and may be subject to change. Information for certain securities may be missing if not received from third parties in time for printing. NFS is not responsible for inaccurate, incomplete, or missing information. Please consult your broker-dealer for more information about expected stock split, next dividend payable, and next interest payable for certain securities.

Equity Dividend Reinvestment Customers. Shares credited to your brokerage account resulted from transactions effected as agent by either: 1) Your broker-dealer for your investment account, or 2) through the Depository Trust Company (DTC) dividend reinvestment program. For broker-dealer effected transactions, the time of the transactions, the exchange upon which these transactions occurred and the name of the person from whom the security was purchased will be furnished upon written request. NFS may have acted as market maker in effecting trades in "over-the-counter" securities.

Retirement Contributions/Distributions. A summary of retirement contributions/distributions is displayed for you in the activity summary section of your statement. **Income Reporting.** NFS reports earnings from investments in Traditional IRAs, Rollover IRAs, SEP-IRAs and, Keoghs as tax-deferred income. Earnings from Roth IRAs are reported as tax-free income, since distributions may be tax-free after meeting the 5 year aging requirement and certain other conditions. A financial statement of NFS is available for your personal inspection at its office or a copy of it will be mailed to you upon your written request.

Statement Mailing. NFS will deliver statements by mail or, if applicable, notify you by e-mail of your statement's availability. If you had transactions that affected your cash balances or security positions held in your account(s) during the last monthly reporting period. At a minimum, all brokerage customers will receive quarterly statements (at least four times per calendar year) as long as their accounts contain a cash or securities balance.

Loads and Fees. In connection with (i) access to, purchase or redemption of, and/or maintenance of positions in mutual funds and other investment products ("funds") or (ii) infrastructure needed to support such funds, some funds, or their investment affiliates, pay your introducing broker dealer and/or NFS sales loads and 12b-1 fees

Royal Alliance Associates, Inc.

MN_CEBGWBCPBDDPXP_K_BBBB 20190329

closely reflect the value at which the security may be sold or purchased based on various market factors. Investment decisions should be made only after consulting your broker-dealer.

Estimated Annual Income (EAI) & Estimated Yield (EY) - EAI for fixed income is calculated using the coupon rate. For all other securities, EAI is calculated using an indicated annual dividend (IAD). The IAD is an estimate of a security's dividend payments for the next 12 months calculated based on prior and/or declared dividends for that security. EY reflects only the income generated by an investment and not changes in its price which may fluctuate. Interest and dividend rates are subject to change at any time and may be affected by current and future economic, political and business conditions. EAI and EY are estimates only and may include return of principal and/or capital gains, which would render them overstated. EAI and EY are provided for informational purposes only and should not be used or relied on for making investment, trading or tax decisions. EAI and EY are based on data obtained from information providers believed to be reliable, but no assurance can be made as to accuracy, timeliness or completeness.

described in the prospectus as well as additional compensation for shareholder services, start-up fees, infrastructure support and maintenance, and other programs. Additional information about the source(s) and amount(s) of compensation as well as other remuneration received by your introducing broker dealer and/or NFS will be furnished to you upon written request. At time of purchase fund shares may be assigned a load, transaction fee or no transaction fee status. At time of sale, any fees applicable to your transaction will be assessed based on the status assigned to the shares at time of purchase.

Margin. If you have applied for margin privileges and been approved, you may borrow money from NFS in exchange for pledging the assets in your account as collateral for any outstanding margin loan. The amount you may borrow is based on the value of securities in your margin account, which is identified on your statement. If you have a margin account, this is a combined statement of your margin account and special memorandum account other than your non-purpose margin accounts maintained for you under Section 220.5 of Regulation T issued by the Board of Governors of the Federal Reserve Board. The permanent record of the separate accounts, as required by Regulation T, is available for your inspection upon request.

NYSE and FINRA. All transactions are subject to the constitution, rules, regulations, customs, usages, rulings and interpretations of the exchange market and its clearing house, if any, where the transactions are executed, and of the New York Stock Exchange (NYSE) and of the Financial Industry Regulatory Authority ("FINRA"). The FINRA requires that we notify you in writing of the availability of an investor brochure that includes information describing FINRA Regulation's BrokerCheck Program ("Program"). To obtain a brochure or more information about the Program or FINRA Regulation, contact the FINRA Regulation BrokerCheck Program Hotline at (800) 289-9999 or access the FINRA's web site at www.finra.org.

4311 requires that your broker-dealer and NFS allocate between them certain functions regarding the administration of your brokerage account. The following is a summary of the allocation services performed by your broker-dealer and NFS. A more complete description is available upon request.

Your broker-dealer is responsible for: (1) obtaining and verifying brokerage account information and documentation, (2) opening, approving and monitoring your brokerage account, (3) transmitting timely and accurate orders and other instructions to NFS with respect to your brokerage account, (4) determining the suitability of investment recommendations and advice, (5) operating, and supervising your brokerage account and its own activities in compliance with applicable laws and regulations including compliance with margin rules pertaining to your margin account, if applicable, and (6) maintaining required books and records for the services that it performs.

NFS shall, at the direction of your broker-dealer: (1) execute, clear and settle transactions processed through NFS by your broker-dealer, (2) prepare and send transaction confirmations and periodic statements of your brokerage account (unless your broker-dealer has undertaken to do so). Certain securities pricing and descriptive information may be provided by your broker-dealer or obtained from third parties deemed to be reliable, however, this information has not been verified by NFS, (3) act as custodian for funds and securities received by NFS on your behalf, (4) follow the instructions of your broker-dealer with respect to transactions and the receipt and delivery of funds and securities for your brokerage account, and (5) extend margin credit for purchasing or carrying securities on margin.

Your broker-dealer is responsible for ensuring that your brokerage account is in compliance with federal, industry and NFS margin rules, and for advising you of margin requirements. NFS shall maintain the required books and records for the services it performs. Securities in accounts carried by NFS are protected in accordance with the Securities Investor Protection Corporation ("SIPC") up to \$500,000. The \$500,000 total amount of SIPC protection is inclusive of up to \$250,000 protection for claims for cash, subject to periodic adjustments for inflation in accordance with terms of the SIPC statute and approval by SIPC's Board of Directors. NFS also has arranged for coverage above these limits. Neither coverage protects against a decline in the market value of securities, nor does either coverage extend to certain securities that are considered ineligible for coverage. For more details on SIPC, or to request a SIPC brochure, visit www.sipc.org or call 1-202-371-8300. Funds used to purchase or sweep to a bank deposit are SIPC protected until deposited to a Program Bank at which time funds may be eligible for FDIC insurance. Assets Held Away, commodities, unregistered investment contracts, futures accounts, loaned securities and other investments are not covered. Precious metals are not covered by SIPC protection. Mutual funds and/or other securities are not backed or guaranteed by any bank, nor are they insured by the FDIC and involve investment risk including possible loss of principal.

End of Statement

722239.7.0

Account carried with National Financial Services LLC, Member
NYSE, SIPC

This page is left intentionally blank

UNITED STATES BANKRUPTCY COURT
SOUTHERN DISTRICT OF NEW YORK

X
:
:
In Re : Chapter 11
Case No. 18-23538 (RDD)

SEARS HOLDING CORPORATION, et al.,

Debtors

(Jointly Administered)

X

Response to objection by Sears Holding to Proofs of Claims (Reclassifying Claims)

Claim # 17213/USD 60,000.

GRP Equities LLC
2345 E 64th Street
Brooklyn, NY 11234

Please do not allow Sears Corporation to (i)reclassify to general unsecured claims,
as I own second lien PIK notes and purchased these specifically based they were
secured bonds.



Scott M. Fitzgerald/Authorized Agent
President
Steel Ridge Advisors
1377 Motor Pkwy, Suite 204
Islandia, NY 11749
sfitzgerald@steelridgeadvisors.com
(631) 353-0003

11/5/2021

Contact 844.384.4450 Client Login



Sears Holdings Corporation (18-23538)

[CHANGE CASE](#)

[Case Info](#) [Docket](#) [Claims](#) [Submit a Claim](#) [Submit Inquiry](#)

[Search Docket](#) [Search Claim](#)

Schedule	Claim #	Filed Date	Creditor Name	Debtor Name	Claim Value
	17213	04/10/2019	GRP Equities LLC	Sears Holdings Corporation	\$ 60,000.00

Creditor Data Details for Claim # 17213

Creditor
GRP Equities LLC
2345 E. 64th Street
Brooklyn, NY 11234

Debtor Name
Sears Holdings Corporation
Schedule Number

Date Filed
04/10/2019
Claim Number
17213
Proof of Claim
[View PDF](#) [Email PDF](#)

Select scope

Claim Number(s)(e.g. 1,3,5-7)

Schedule Number

Creditor name

Debtor(s)

Select Classification

Select Search Operator

Amount

Date from

Date to

-

[Search Claim](#)

[Reset](#)

Schedule Amount CUD*	Asserted Claim Amount CUD*	Current Claim Status Claim Value
General Unsecured		
Priority		
Secured	\$60,000.00	\$60,000.00 Asserted
503(b)(9) Admin Priority		
Admin Priority		
Total	50.00	\$60,000.00

*C=Contingent, U=Unliquidated, D=Disputed, F=Foreign

Prime Clerk maintains this website for the public's convenience and for general informational purposes only. Anyone using this website is cautioned NOT to rely on any information contained on this website, and any user of this website should not take or refrain from taking any action based upon anything included or not included on this website. We are not a law firm or a substitute for

[Open in new window](#)

Page 1 of 1

20

View 1 - 1 of 1

[Home](#) [Leadership](#) [Disclaimer](#) [Terms & Conditions](#)

©2016 Prime Clerk. All rights reserved.

Contact 844.384.4460 Client Login



Sears Holdings Corporation (18-23538)

[CHANGE CASE](#)

[Case Info](#) [Docket](#) [Claims](#) [Submit a Claim](#) [Submit Inquiry](#)

[Search Docket](#) [Search Claim](#)

Schedule	Claim #	Filed Date	Creditor Name	Debtor Name	Claim Value
	17213	04/10/2019	GRP Equities LLC	Sears Holdings Corporation	\$ 60,000.00

Creditor Data Details for Claim # 17213

Creditor
GRP Equities LLC
2345 E. 64th Street
Brooklyn, NY 11234

Debtor Name
Sears Holdings Corporation
Schedule Number

Date Filed
04/10/2019
Claim Number
17213
Proof of Claim
[View PDF](#) [Email PDF](#)

Select scope

Claim Number(s)(e.g. 1,3,5-7)

Schedule Number

Creditor name

Debtor(s)

Select Classification

Select Search Operator

Amount

Date from

Date to

[Search Claim](#)

[Reset](#)

	Schedule Amount C'UD'	Asserted Claim Amount C'UD'	Current Claim Status Claim Value
General Unsecured			
Priority			
Secured		\$60,000.00	\$60,000.00 Asserted
503(b)(9) Admin Priority			
Admin Priority			
Total	\$0.00	\$60,000.00	\$60,000.00

*C=Contingent, U=Unliquidated, D=Disputed, F=Foreign

Prime Clerk maintains this website for the public's convenience and for general informational purposes only. Anyone using this website is cautioned NOT to rely on any information contained on this website, and any user of this website should not take or refrain from taking any action based upon anything included or not included on this website. We are not a law firm or a substitute for

[Open in new window](#)

Page 1 of 1

20

View 1 - 1 of 1

[Home](#) [Leadership](#) [Disclaimer](#) [Terms & Conditions](#)

©2016 Prime Clerk. All rights reserved.

Fill in this information to identify the case (Select only one Debtor per claim form):

<input checked="" type="checkbox"/> Sears Holdings Corporation (18-23538)	<input type="checkbox"/> Kmart Corporation (18-23549)	<input type="checkbox"/> Sears, Roebuck de Puerto Rico, Inc. (18-23561)	<input type="checkbox"/> MyGofer LLC (18-23573)	<input type="checkbox"/> Kmart.com LLC (18-23585)
<input type="checkbox"/> Sears, Roebuck and Co. (18-23537)	<input type="checkbox"/> MaxServ, Inc. (18-23550)	<input type="checkbox"/> SYW Relay LLC (18-23562)	<input type="checkbox"/> Sears Brands Business Unit Corporation (18-23574)	<input type="checkbox"/> Sears Brands Management Corporation (18-23586)
<input type="checkbox"/> Kmart Holding Corporation (18-23539)	<input type="checkbox"/> Private Brands, Ltd. (18-23551)	<input type="checkbox"/> Wally Labs LLC (18-23563)	<input type="checkbox"/> Sears Holdings Publishing Company, LLC (18-23575)	<input type="checkbox"/> SHC Licensed Business LLC (18-23616)
<input type="checkbox"/> Kmart Operations LLC (18-23540)	<input type="checkbox"/> Sears Development Co. (18-23552)	<input type="checkbox"/> Big Beaver of Florida Development, LLC (18-23564)	<input type="checkbox"/> Kmart of Michigan, Inc. (18-23576)	<input type="checkbox"/> SHC Promotions LLC (18-23630)
<input type="checkbox"/> Sears Operations LLC (18-23541)	<input type="checkbox"/> Sears Holdings Management Corporation (18-23553)	<input type="checkbox"/> California Builder Appliances, Inc. (18-23565)	<input type="checkbox"/> SHC Desert Springs, LLC (18-23577)	<input type="checkbox"/> SRe Holding Corporation (19-22301)
<input type="checkbox"/> ServiceLive, Inc. (18-23542)	<input type="checkbox"/> Sears Home & Business Franchises, Inc. (18-23554)	<input type="checkbox"/> Florida Builder Appliances, Inc. (18-23566)	<input type="checkbox"/> SOE, Inc. (18-23578)	
<input type="checkbox"/> A&E Factory Service, LLC (18-23543)	<input type="checkbox"/> Sears Home Improvement Products, Inc. (18-23555)	<input type="checkbox"/> KBL Holding Inc. (18-23567)	<input type="checkbox"/> StarWest, LLC (18-23579)	
<input type="checkbox"/> A&E Home Delivery, LLC (18-23544)	<input type="checkbox"/> Sears Insurance Services, L.L.C. (18-23556)	<input type="checkbox"/> KLC, Inc. (18-23568)	<input type="checkbox"/> STI Merchandising, Inc. (18-23580)	
<input type="checkbox"/> A&E Lawn & Garden, LLC (18-23545)	<input type="checkbox"/> Sears Procurement Services, Inc. (18-23557)	<input type="checkbox"/> Sears Protection Company (Florida), L.L.C. (18-23569)	<input type="checkbox"/> Troy Coolidge No. 13, LLC (18-23581)	
<input type="checkbox"/> A&E Signature Service, LLC (18-23546)	<input type="checkbox"/> Sears Protection Company (18-23558)	<input type="checkbox"/> Kmart of Washington LLC (18-23570)	<input type="checkbox"/> BlueLight.com, Inc. (18-23582)	
<input type="checkbox"/> FBA Holdings Inc. (18-23547)	<input type="checkbox"/> Sears Protection Company (PR) Inc. (18-23559)	<input type="checkbox"/> Kmart Stores of Illinois LLC (18-23571)	<input type="checkbox"/> Sears Brands, L.L.C. (18-23583)	
<input type="checkbox"/> Innovel Solutions, Inc. (18-23548)	<input type="checkbox"/> Sears Roebuck Acceptance Corp. (18-23560)	<input type="checkbox"/> Kmart Stores of Texas LLC (18-23572)	<input type="checkbox"/> Sears Buying Services, Inc. (18-23584)	

Proof of Claim

04/16

Read the instructions before filling out this form. This form is for making a claim for payment in a bankruptcy case. Do not use this form to make a request for payment of an administrative expense, other than a claim entitled to administrative priority pursuant to 11 U.S.C. § 503(b)(9). Make such a request according to 11 U.S.C. § 503.

Filers must leave out or redact information that is entitled to privacy on this form or on any attached documents. Attach redacted copies of any documents that support the claim, such as promissory notes, purchase orders, invoices, itemized statements of running accounts, contracts, judgments, mortgages, and security agreements. Do not send original documents; they may be destroyed after scanning. If the documents are not available, explain in an attachment. A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

Fill in all the information about the claim as of the date the case was filed. That date is on the notice of bankruptcy (Form 309) that you received.

Part 1: Identify the Claim

1. Who is the current creditor?	GRP EQUITIES LLC Name of the current creditor (the person or entity to be paid for this claim) Other names the creditor used with the debtor	
2. Has this claim been acquired from someone else?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. From whom?	
3. Where should notices and payments to the creditor be sent? Federal Rule of Bankruptcy Procedure (FRBP) 2002(g)	Where should notices to the creditor be sent? 2345 E. 64TH STREET BROOKLYN, NY 11234 Contact phone 646-496-7675 Contact email	Where should payments to the creditor be sent? (if different) NATIONAL FINANCIAL SERVICES C/O ROYAL ALLIANCE 10 EXCHANGE PLAZA SUITE 1410 JERSEY CITY, NJ 07302 RQV-005831 Contact phone 631-353-0003 Contact email sftzgerald@steelridgeadvisors.com
4. Does this claim amend one already filed?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. Claim number on court claims registry (if known) Filed on MM / DD / YYYY	
5. Do you know if anyone else has filed a proof of claim for this claim?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. Who made the earlier filing?	

Part 2: Give Information About the Claim as of the Date the Case Was Filed

6. Do you have any number you use to identify the debtor? ☐ No ☒ Yes. Last 4 digits of the debtor's account or any number you use to identify the debtor: 8 1 1 4

7. How much is the claim? \$ 60,000.00 Does this amount include interest or other charges?
☒ No ☐ Yes. Attach statement itemizing interest, fees, expenses, or other charges required by Bankruptcy Rule 3001(c)(2)(A).

8. What is the basis of the claim? Examples: Goods sold, money loaned, lease, services performed, personal injury or wrongful death, or credit card.
Attach redacted copies of any documents supporting the claim required by Bankruptcy Rule 3001(c).
Limit disclosing information that is entitled to privacy, such as health care information.

9. Is all or part of the claim secured? ☐ No ☒ Yes. The claim is secured by a lien on property.
Nature of property:
☐ Real estate. If the claim is secured by the debtor's principal residence, file a *Mortgage Proof of Claim Attachment* (Official Form 410-A) with this *Proof of Claim*.
☐ Motor vehicle
☒ Other. Describe: SEARS HLDGS CORP. 6 5/8% SENIOR SECURED NOTE DUE 10/15/18
Basis for perfection: _____
Attach redacted copies of documents, if any, that show evidence of perfection of a security interest (for example, a mortgage, lien, certificate of title, financing statement, or other document that shows the lien has been filed or recorded.)
Value of property: \$ _____
Amount of the claim that is secured: \$ _____
Amount of the claim that is unsecured: \$ _____ (The sum of the secured and unsecured amounts should match the amount in line 7.)
Amount necessary to cure any default as of the date of the petition: \$ _____
Annual Interest Rate (when case was filed) _____ %
☐ Fixed
☐ Variable

10. Is this claim based on a lease? ☒ No ☐ Yes. Amount necessary to cure any default as of the date of the petition. \$ _____

11. Is this claim subject to a right of setoff? ☒ No ☐ Yes. Identify the property: _____

12. Is all or part of the claim entitled to priority under 11 U.S.C. § 507(a)? ☒ No ☐ Yes. Check one:

A claim may be partly priority and partly nonpriority. For example, in some categories, the law limits the amount entitled to priority.

☐ Domestic support obligations (including alimony and child support) under 11 U.S.C. § 507(a)(1)(A) or (a)(1)(B). Amount entitled to priority \$ _____

☐ Up to \$2,850* of deposits toward purchase, lease, or rental of property or services for personal, family, or household use. 11 U.S.C. § 507(a)(7). \$ _____

☐ Wages, salaries, or commissions (up to \$12,850*) earned within 180 days before the bankruptcy petition is filed or the debtor's business ends, whichever is earlier. 11 U.S.C. § 507(a)(4). \$ _____

☐ Taxes or penalties owed to governmental units. 11 U.S.C. § 507(a)(8). \$ _____

☐ Contributions to an employee benefit plan. 11 U.S.C. § 507(a)(5). \$ _____

☐ Other. Specify subsection of 11 U.S.C. § 507(a)() that applies. \$ _____

* Amounts are subject to adjustment on 4/01/19 and every 3 years after that for cases begun on or after the date of adjustment.

13. Is all or part of the claim entitled to administrative priority pursuant to 11 U.S.C. § 503(b)(9)? ☒ No ☐ Yes. Indicate the amount of your claim arising from the value of any goods received by the Debtor within 20 days before the date of commencement of the above case, in which the goods have been sold to the Debtor in the ordinary course of such Debtor's business. Attach documentation supporting such claim. \$ _____

Part 3: Sign Below

The person completing this proof of claim must sign and date it. FRBP 9011(b).

If you file this claim electronically, FRBP 5005(a)(2) authorizes courts to establish local rules specifying what a signature is.

A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

Check the appropriate box:

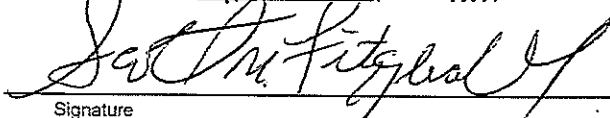
- ☐ I am the creditor.
☒ I am the creditor's attorney or authorized agent.
☐ I am the trustee, or the debtor, or their authorized agent. Bankruptcy Rule 3004.
☐ I am a guarantor, surety, endorser, or other codebtor. Bankruptcy Rule 3005.

I understand that an authorized signature on this *Proof of Claim* serves as an acknowledgment that when calculating the amount of the claim, the creditor gave the debtor credit for any payments received toward the debt.

I have examined the information in this *Proof of Claim* and have a reasonable belief that the information is true and correct.

I declare under penalty of perjury that the foregoing is true and correct.

Executed on date 04/09/2021 (mm/dd/yyyy)


Signature

Print the name of the person who is completing and signing this claim:

Name of the person who is completing and signing this claim:

Name SCOTT M FITZGERALD
First name Middle name Last name

Title PRESIDENT

Company STEEL RIDGE ADVISORS
Identify the corporate servicer as the company if the authorized agent is a servicer.

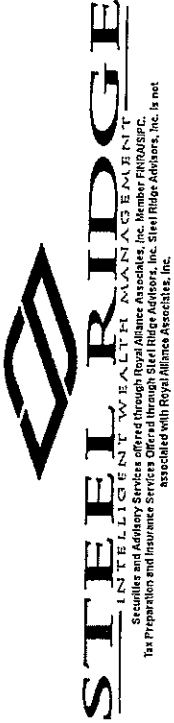
Address 1377 MOTOR PKWY, SUITE 204
Number Street

ISLANDIA NY 11749
City State ZIP Code

Contact phone 631-353-0003 Email sfitzgerald@steelridgeadvisors.com

ENV# CEBGWBCPBBDQBFFH_BBBBB
ROYAL ALLIANCE ASSOCIATES INC.
10 EXCHANGE PLACE, SUITE 1410
JERSEY CITY, NJ 07302

GRP EQUITIES LLC
2345 E 64TH ST
BROOKLYN NY 11234



STATEMENT FOR THE PERIOD MARCH 1, 2019 TO MARCH 31, 2019

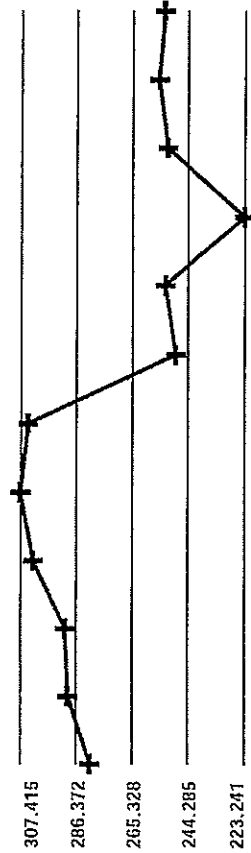
GRP EQUITIES LLC - Limited Liability Co
Account Number: RQV-005831

YOUR FINANCIAL ADVISOR IS:
SCOTT FITZGERALD
RR#: AZP
For questions about your accounts:
Local: 631 353 0003
In-State: 631 353 0003
National: 631 353 0003

TOTAL VALUE OF YOUR PORTFOLIO \$253,292.10

CHANGE IN VALUE OF YOUR PORTFOLIO

\$ thousands



Change In Value Of Your Portfolio information can be found in Miscellaneous Footnotes at the end of this statement.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Royal Alliance Associates, Inc.
MN_CEBGWBCPBBDQBFFH_BBBBB 20190329

Statement for the Period March 1, 2019 to March 31, 2019
GRP EQUITIES LLC - Limited Liability Co
Account Number: RQV-005831

Account Overview

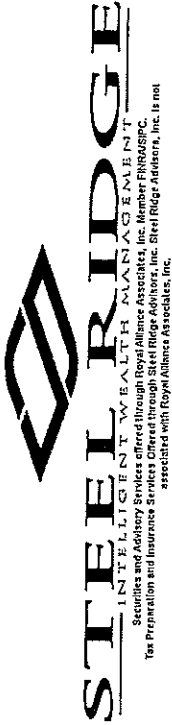
CHANGE IN ACCOUNT VALUE	Current Period	Year-to-Date
BEGINNING VALUE	\$255,658.14	\$223,241.52
Additions and Withdrawals	\$0.00	\$0.00
Income	\$361.09	\$555.24
Taxes, Fees and Expenses	\$0.00	\$0.00
Change in Value	(\$2,727.13)	\$29,495.34
ENDING VALUE (AS OF 03/31/19)	\$253,292.10	\$253,292.10
Total Pending Accrued Dividends	\$15.57	
Ending Value with Accrued Dividends	\$253,307.67	

Refer to Miscellaneous Footnotes for more information on Change in Value.

Pending dividends and stock distributions reflect projected values only; are subject to change and may not represent the actual amount, if any, that you may receive. This information is provided for informational purposes only and should not be relied on for tax reporting or other purposes.

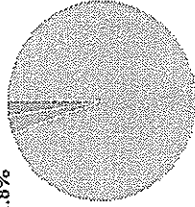
INCOME	Current Period	Year-to-Date
TAXABLE		
Taxable Dividends	\$360.41	\$391.79
Taxable Interest	\$0.68	\$0.68
Long-Term Capital Gain	\$0.00	\$162.77
TOTAL TAXABLE	\$361.09	\$555.24
TOTAL INCOME	\$361.09	\$555.24

Taxable income is determined based on information available to NFS at the time the statement was prepared, and is subject to change. Final information on taxation of interest and dividends is available on Form 1099-Div, which is mailed in February of the subsequent year.



ACCOUNT ALLOCATION

Bank Deposits 2.6%
Fixed Income 2.8%

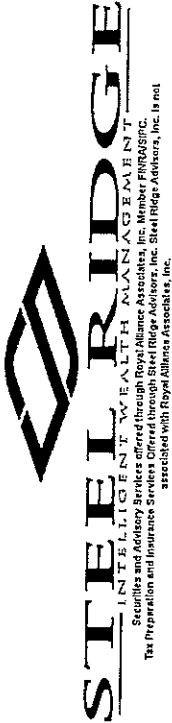


Equities 94.6%

	Percent	Prior Period	Current Period
Money Markets	0.0 %	\$6,564.66	\$0.00
Bank Deposits	2.6	\$0.00	\$6,568.34
Equities	94.6	\$235,893.48	\$239,523.76
Fixed Income	2.8	\$13,200.00	\$7,200.00
TOTAL	100.0 %	\$255,658.14	\$253,292.10

Account Allocation shows the percentage that each asset class represents of your total account value. Account allocation for equities, fixed income, and other categories may include mutual funds and may be net of short positions. NFS has made assumptions concerning how certain mutual funds are allocated. Closed-end mutual funds and Exchange Traded Products (ETPs) listed on an exchange may be included in the equity allocation. The chart may not reflect your actual portfolio allocation. Consult your broker/dealer prior to making investment decisions.

Statement for the Period March 1, 2019 to March 31, 2019
GRP EQUITIES LLC - Limited Liability Co
Account Number: RQV-005831



Account Overview *continued*

REALIZED GAIN (LOSS)	Current Period	Year-to-Date
Short Term Gain	\$0.00	\$0.00
Short Term Loss	\$0.00	\$1.28
Disallowed Short Term Loss	\$0.00	\$0.00
TOTAL SHORT TERM GAIN (LOSS)	\$0.00	(\$1.28)
Long Term Gain	\$0.00	\$0.00
Long Term Loss	\$0.00	\$0.00
Disallowed Long Term Loss	\$0.00	\$0.00
TOTAL LONG TERM GAIN (LOSS)	\$0.00	\$0.00

NFS-provided cost basis, realized gain (loss) and holding period information may not reflect all adjustments necessary for your tax reporting purposes. Please refer to Footnotes and Cost Basis Information at the end of this statement for more information.

MESSAGES AND ALERTS

DRS - Direct Registration System Transfer Agent Fee Effective May 1, 2014, three transfer agents, Computershare, Wells Fargo, and Registrar and Transfer Company are implementing a \$15 transfer fee for each position moved into your brokerage account via book entry Direct Registration System - DRS. If the fee is charged by the agent, NFS will pass through the charge to the account. As a reminder, there is already an existing fee charged to accounts for outgoing DRS transfers. Please contact your Financial Advisor if you have any questions regarding this fee.

Beginning in January 2019, National Financial Services will enhance the end-investor statement with the following changes. Payee details will be displayed within Activity Sections Description field for transactions that have associated Payee information. A summary level total of Short Dividends charged will be reported within the Account Overview section. Change in Value of Your Portfolio graph will show minimum and maximum scaling on the Y axis, include Negative values and, use clearer data points for information displayed.

National Financial Services LLC NFS is required by the Securities Exchange Act of 1934 to provide certain financial information from its Statement of Financial Condition. At December 31, 2018, NFS, an affiliate of Fidelity Brokerage Services LLC, had net capital of \$4,012 million, which was 13.67 percent of aggregate debit items and exceeded its minimum requirement by \$3,425 million. To acquire the Statement of Financial Condition, log on to www.mybrokerageinfo.com. If you wish to obtain a copy of this document at no cost, please call 800-439-5627.

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDDQBHF_BBBB 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
GRP EQUITIES LLC - Limited Liability Co
Account Number: RQV-005831



Holdings

NFS-provided cost basis, realized gain (loss) and holding period information may not reflect all adjustments necessary for tax purposes. Please refer to Footnotes and Cost Basis Information at the end of this statement for more information.

For additional information regarding your holdings, please refer to the footnotes at the end of the statement.

CASH AND CASH EQUIVALENTS - 2.59% of Total Account Value

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income
Bank Deposits					
Bank deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). Funds used to purchase or sweep to a bank deposit are SIPC protected until deposited to a Program Bank at which time funds may be eligible for FDIC insurance. Customers are responsible for monitoring their total deposits at each Program Bank to determine the extent of available FDIC insurance. Refer to the Bank Deposit Detail section which appears later in this statement for information on the banks holding your deposits. If your account was established on the last business day of this month, your statement will not include a Bank Deposit Detail section.					
ADVISOR GROUP INS DEPOSIT PROGRAM (BUSINESS-TIERED)	QAGBQ CASH	6,568.34	\$1.00	\$6,568.34	
Estimated Annual Yield: 0.19%					
Total Cash and Cash Equivalents				\$6,568.34	

HOLDINGS > EQUITIES - 20.78% of Total Account Value

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
Equity							
GENERAL ELECTRIC CO COM USD0.06	GE CASH	316.922	\$9.99	\$3,166.05	\$12.68	\$8,431.80 C	(\$5,265.75)
Estimated Yield: 0.40%							
Dividend Option Reinvest							
Capital Gain Option Reinvest							
Next Dividend Payable: 04/25/19							
Average Unit Cost: \$26.61							
KRAFT HEINZ CO COM	KHC CASH	16.657	\$32.65	\$543.85	\$26.65	\$574.02 C	(\$30.17)
Estimated Yield: 4.99%							
Dividend Option Reinvest							
Capital Gain Option Reinvest							
Average Unit Cost: \$34.46							

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDQBPH_BBHBB 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
GRP EQUITIES LLC - Limited Liability Co
Account Number: RQV-005831



HOLDINGS > EQUITIES *continued*

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
MICROSOFT CORP	MSFT	218.051	\$117.94	\$25,716.93	\$401.21	\$6,853.46 C	\$18,863.47
Estimated Yield 1.56%	CASH						
Dividend Option Reinvest							
Capital Gain Option Reinvest							
Next Dividend Payable: 06/13/19							
Average Unit Cost \$31.43							
MONDELEZ INTL INC COM	MDLZ	47.689	\$49.92	\$2,380.63	\$49.60	\$964.93 C	\$1,415.70
Estimated Yield 2.08%	CASH						
Dividend Option Reinvest							
Capital Gain Option Reinvest							
Next Dividend Payable: 04/12/19							
Average Unit Cost \$20.23							
PFIZER INC	PFE	488.402	\$42.47	\$20,742.43	\$703.30	\$12,053.10 C	\$8,689.33
Estimated Yield 3.39%	CASH						
Dividend Option Reinvest							
Capital Gain Option Reinvest							
Average Unit Cost \$24.68							
WABTEC CORP COM USD0.01	WAB	1	\$73.72	\$73.72	\$0.40	\$73.96	(\$0.24)
Estimated Yield 0.65%	CASH						
Dividend Option Reinvest							
Capital Gain Option Reinvest							
Average Unit Cost \$73.96							
Total Equity				\$52,623.61	\$1,193.92	\$28,951.27	\$23,672.34
Total Equities				\$52,623.61	\$1,193.92	\$28,951.27	\$23,672.34

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDQBFBH_BBBBBB 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
GRP EQUITIES LLC - Limited Liability Co
Account Number: RQV-005831



HOLDINGS > FIXED INCOME - 2.84% of Total Account Value

For an explanation of fixed income pricing, please see the last page. Redemption schedule(s), bond rating(s), and other information are provided where available. If information does not appear regarding a particular investment, it is not available. The ratings on this statement are provided by Standard & Poor's and/or Moody's to rate the quality based on the respective rating agency's assessment. Ratings information from Standard & Poor's ("S&P") may not be reproduced. S&P credit ratings are statements of opinion and are not statements of fact or recommendations to purchase, hold, or sell securities, nor do they address the suitability of securities for investment purposes, and should not be relied on as investment advice. S&P does not guarantee the accuracy, completeness, timeliness or availability of any information, including ratings, and is not responsible for errors or omissions (negligent or otherwise). S&P gives no express or implied warranties, including but not limited to any warranties of merchantability or fitness for a particular purpose or use. S&P shall not be liable for any direct, indirect, incidental, exemplary, compensatory, punitive, special or consequential damages, costs, expenses, legal fees, or losses (including lost income or profits and opportunity costs) in connection with any use of ratings.

Description	Symbol/Cusip Account Type	Quantity	Estimated Price on 03/31/19	Estimated Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
Corporate Bonds							
SEARS HLDGS CORP NOTE CALL MAKE WHOLE 6.62500% 10/15/2018	812350AE6 CASH	60,000	\$12.00	\$7,200.00		\$58,102.00 C	
MOODY'S WR CPN PMT SEMI-ANNUAL ON OCT 15, APR 15 CONTINUOUSLY CALLABLE IN MONETARY DEFAULT							
Average Unit Cost							\$96.84
Adjusted Cost Basis							
Total Fixed Income		60,000		\$7,200.00		\$58,102.00 C D	(\$50,902.00)

HOLDINGS > MUTUAL FUNDS - 73.79% of Total Account Value

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
Equity							
FIDELITY ADVISOR NEW INSIGHTS CL C Dividend Option Reinvest Capital Gain Option Reinvest Average Unit Cost \$25.01	FNICX CASH	987,081	\$25.97	\$25,634.49		\$24,682.70 C	\$951.79
FIDELITY ADVISOR SMALL CAP CL A Dividend Option Reinvest Capital Gain Option Reinvest	FSCDX CASH	1,220,323	\$21.84	\$26,651.85			
OPPENHEIMER GLOBAL FD CLASS A Estimated Yield 0.46% Dividend Option Reinvest Capital Gain Option Reinvest	OPPAX CASH	249,826	\$86.36	\$21,574.97	\$101.01		

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member NYSE, SIPC

MN_CEBGWBCPBDDQBTH_BB8BB 20190329

Statement for the Period March 1, 2019 to March 31, 2019
GRP EQUITIES LLC--Limited Liability Co
Account Number: RQV-005831



HOLDINGS > MUTUAL FUNDS *continued*

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
OPPENHEIMER MAIN STREET CL A	MSIGX CASH	764.757	\$45.40	\$34,719.97	\$374.74		
Estimated Yield 1.07%							
Dividend Option Reinvest							
Capital Gain Option Reinvest							
OPPENHEIMER MAIN STREET MID CAP CL A	OPMSX CASH	763.776	\$24.14	\$18,437.55			
Dividend Option Reinvest							
Capital Gain Option Reinvest							
OPPENHEIMER RISING DIVIDENDS FD CL A	OARDX CASH	2,594.003	\$18.76	\$48,663.50	\$564.00		
Estimated Yield 1.13%							
Dividend Option Reinvest							
Capital Gain Option Reinvest							
OPPENHEIMER RISING DIVIDENDS FD CL C	OCRDY CASH	719.001	\$15.60	\$11,217.82	\$73.08	\$12,446.12 C	(\$1,228.30)
Estimated Yield 0.65%							
Dividend Option Reinvest							
Capital Gain Option Reinvest							
Average Unit Cost \$17.31							
Total Equity				\$186,900.15	\$1,102.83	\$37,128.82	(\$276.51)
Total Mutual Funds				\$186,900.15	\$1,102.83	\$37,128.82	(\$276.51)
Total Securities				\$246,723.76	\$2,296.75	\$124,182.09	(\$27,506.17)
TOTAL PORTFOLIO VALUE				\$253,292.10	\$2,296.75	\$124,182.09	(\$27,506.17)

Activity

NFS-provided cost basis, realized gain (loss) and holding period information may not reflect all adjustments necessary for tax purposes. Please refer to Footnotes and Cost Basis Information at the end of this statement for more information.

PURCHASES, SALES, AND REDEMPTIONS

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
--------------------	-----------------	-------------	-------------	----------	--------

Securities Purchased

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDQBEB_BBBB 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
GRP EQUITIES LLC - Limited Liability Co
Account Number: RQV-005831



PURCHASES, SALES, AND REDEMPTIONS *continued*

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
03/01/19	CASH	REINVESTMENT	PFIZER INC REINVEST @ \$43.0572 TRADE DATE 02-27-19	4.05	(\$174.37)
03/14/19	CASH	REINVESTMENT	MICROSOFT CORP REINVEST @ \$113.5244 TRADE DATE 03-12-19	0.88	(\$99.90)
03/21/19	CASH	REINVESTMENT	OPPENHEIMER RISING DIVIDENDS FD CL A REINVEST @ \$18.8800	3.829	(\$72.29)
03/21/19	CASH	REINVESTMENT	OPPENHEIMER RISING DIVIDENDS FD CL C REINVEST @ \$15.7000	0.272	(\$4.27)
03/22/19	CASH	REINVESTMENT	KRAFT HEINZ CO COM REINVEST @ \$31.9657 TRADE DATE 03-20-19	0.206	(\$6.50)
Total Securities Purchased					(\$357.41)
Securities Sold					
03/11/19	CASH	YOU SOLD	FIDELITY GOVT MMKT CAPITAL RESERVES CL FZXX TO QAGBQ	(6,564.66)	\$6,564.66
Total Securities Sold					\$6,564.66

ACTIVITY > CORE FUND ACTIVITY

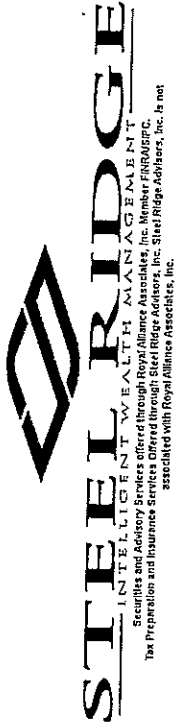
Settlement Date	Account Type	Transaction	Description	Quantity	Amount
03/11/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (BUSINESS-TIERED) QAGBQ IS LIQUID	6,564.66	(\$6,564.66)
03/29/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (BUSINESS-TIERED) @ 1	3	(\$3.00)
03/29/19	CASH	REINVESTMENT	ADVISOR GROUP INS DEPOSIT PROGRAM (BUSINESS-TIERED) NET INT REINVEST	0.68	(\$0.68)
TOTAL CORE FUND ACTIVITY					(\$6,568.34)

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDQBFB_BBBB 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
GRP EQUITIES LLC - Limited Liability Co
Account Number: RQV-005831



ACTIVITY > INCOME > TAXABLE INCOME

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
Taxable Dividends					
03/01/19	CASH	DIVIDEND RECEIVED	PFIZER INC		\$174.37
03/14/19	CASH	DIVIDEND RECEIVED	MICROSOFT CORP		\$99.90
03/21/19	CASH	DIVIDEND RECEIVED	OPPENHEIMER RISING DIVIDENDS FD CL A		\$72.29
03/21/19	CASH	DIVIDEND RECEIVED	OPPENHEIMER RISING DIVIDENDS FD CL C		\$4.27
03/22/19	CASH	DIVIDEND RECEIVED	KRAFT HEINZ CO COM		\$6.58
03/29/19	CASH	DIVIDEND RECEIVED	FIDELITY GOVT MMKT CAPITAL RESERVES CL DIVIDEND RECEIVED		\$3.00
Total Taxable Dividends					\$360.41
Taxable Interest					
03/29/19	CASH	INTEREST RECEIVED	ADVISOR GROUP INS DEPOSIT PROGRAM (BUSINESS-TIERED)		\$0.68
Total Taxable Interest					\$0.68
Total Taxable Income					\$361.09
TOTAL INCOME					\$361.09

ACTIVITY > PENDING DISTRIBUTIONS

Pending dividends and stock distributions reflect projected values only, are subject to change and may not represent the actual amount, if any, that you may receive. This information is provided for informational purposes only and should not be relied on for tax reporting or other purposes.

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDQBPH_B3BBB 20190329

Account carried with National Financial Services LLC, Member NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
GRP EQUITIES LLC - Limited Liability Co
Account Number: RQV-005831



Symbol/Cusip	Security Description	Eligible Quantity	Rate	Payment Amount
Pending Accrued Dividends				
GE	GENERAL ELECTRIC CO COM USD0.06	316.922	\$0.01	\$3.17
MDLZ	MONDELEZ INTL INC COM	47.689	\$0.26	\$12.40
Total Pending Accrued Dividends				\$15.57

ACTIVITY > BANK DEPOSIT DETAIL

Bank deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). Customers are responsible for monitoring their total deposits at each Program Bank to determine the extent of available FDIC insurance. Your Ending Balance at each Program Bank as of the end of this statement period is shown below. If you participate in a Bank Deposit Sweep Program and also hold a Bank Deposit Direct Investment, the Bank Deposit Detail section lists banks and ending balances for both programs. Funds pending settlement reflect deposits to (credit) or withdrawals from (debit) a Program Bank. Subject to the terms of the applicable bank deposit disclosure, customers are reminded that funds are deposited to a Program Bank on the business day following the date that funds are credited to your account and until swept to a Program Bank, funds are covered by SIPC.

Bank	Beginning Balance	Ending Balance
The BOEA Ltd	\$0.00	\$6,565.34
Current Month's Pending Settlement		\$3.00
Total Bank Deposits	\$0.00	\$6,568.34

Footnotes and Cost Basis Information

Amortization, accretion and similar adjustments to cost basis have been provided for many fixed income securities (and some bond-like equities), however, they are not provided for certain types, such as short-term instruments, Unit Investment Trusts, foreign fixed income securities, or those that are subject to early prepayment of principal (pay downs). Where current year premium or acquisition premium amortization is provided, the prior years' cumulative amortization is reflected in the adjusted cost basis, but we cannot provide a breakdown of the total of such prior amortization amounts.

NFS is required to report certain cost basis and related information to the IRS on the Form 1099-B. Your official 1099-B forms for certain transactions will reflect which lots have been sold for tax purposes. To apply a specific identification cost basis method to 1099-B reporting, appropriate instructions must be on file with NFS or be received by NFS before the trade has settled. Absent such instructions, NFS determines cost basis at the time of sale based on its default methods of average cost for open-end mutual funds and first-in, first-out (FIFO) for all other (including ETFs) unless your broker dealer has elected to use another default method. NFS applies FIFO (or other disposal method, if applicable) based on its records, which may be different from yours. For transactions that are not subject to 1099-B cost basis reporting, you should refer to your trade confirmations and other applicable records to determine which lots were considered sold for tax purposes.

While NFS must meet IRS requirements with respect to certain information required to be reported to the IRS, NFS-provided cost basis, realized gain and loss, and holding period information may not reflect all adjustments necessary for your tax reporting purposes. NFS makes no warranties with respect to and specifically disclaims any liability arising out of a customer's use of, or any tax position taken in reliance upon, such information.

For investments in partnerships, NFS does not make any adjustments to cost basis information as the calculation of basis in such investments requires supplemental information from the partnership on its income and distributions during the period you held your investment. Partnerships usually provide this additional information on a Form K-1 issued by April 15th of the following year.

Royal Alliance Associates, Inc.

MN_CEBGWBC:PBBBQBFB_BBBB 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019

GRP EQUITIES LLC - Limited Liability Co
Account Number: RQV-005831



Footnotes and Cost Basis Information *continued*

Consult your tax advisor for further information.

C - Cost basis information (or proceeds from short sales) was provided by you. We treat it as original cost basis. For equities, we will adjust the cost basis for any corporate actions which our system supports from the date the security was transferred to the account. For asset-backed fixed income securities, we will adjust the cost basis for principal pay downs from the date the security was transferred to the account. We do not apply any wash sale rules to tax lots with customer-provided cost basis. In certain cases, when positions are transferred between accounts the cost basis information may be automatically transferred and deemed to be customer-provided.

D - Adjusted cost basis reflects any cumulative original issue discount, premium, or acquisition premium, and it assumes such amounts were amortized by the taxpayer over the life of the security from acquisition date through disposition date. For securities still held, maturity date was used instead of disposition date. Premium amortization was calculated using the yield-to-maturity method. Acquisition premium was calculated using the ratable accrual method. If applicable, adjusted cost basis reflects market discount accretion which was calculated using the straight-line method and was recognized at disposition date. Gain/loss displayed for this transaction was based on cost basis as adjusted for premium and discount as stated above and does not reflect any losses disallowed because of wash sales (if applicable). The adjusted cost basis may not reflect all adjustments necessary for tax reporting purposes and may also not apply if you are using an alternative amortization calculation method. Refer to IRS Publication 550, Investment Income and Expenses, for additional information.

If a sale, redemption or other disposition involved multiple-tax lots, the transaction's totals may have been calculated using a combination of adjusted and unadjusted cost basis information. For lots where adjusted cost basis and its associated gain/loss are known, that was used, otherwise "regular" unadjusted cost basis and its associated gain/loss was used.

Miscellaneous Footnotes

CHANGE IN VALUE OF YOUR PORTFOLIO is the change in market value of your portfolio assets over the time period shown. The portfolio assets include the market value of all the securities in the account, plus insurance and annuity assets if applicable. The time frame of the graph is from account opening or September 2011, whichever is later, to the current period. Please note that large increases and/or declines in the change in the value of the portfolio can be due to additions, distribution and/or performance.

CHANGE IN VALUE reflects appreciation or depreciation of your holdings due to price changes plus any activity not reflected within Additions and Withdrawals, Income, Taxes, Fees and Expenses, and Other Activity sections. Change in Value does not reflect activity related to assets in which NFS is not the custodian (e.g. Insurance and Annuities, Assets Held Away and Other Assets Held Away).

CALLABLE SECURITIES LOTTERY - When street name or bearer securities held for you are subject to a partial call or partial redemption by the issuer, NFS may or may not receive an allocation of called/redeemed securities by the issuer, transfer agent and/or depository. If NFS is allocated a portion of the called/redeemed securities, NFS utilizes an impartial lottery allocation system. In accordance with applicable rules, that randomly selects the securities within customer accounts that will be called/redeemed. NFS' allocations are not made on a pro rata basis and it is possible for you to receive a full or partial allocation, or no allocation. You have the right to withdraw uncalled fully paid securities at any time prior to the cutoff date and time established by the issuer, transfer agent and/or depository with respect to the partial call, and also to withdraw excess margin securities provided your account is not subject to restriction under Regulation T or such withdrawal will not cause an undermargined condition.

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDQBPH_BBRRB 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
GRP EQUITIES LLC - Limited Liability Co
Account Number: RQV-005831



Miscellaneous Footnotes *continued*

PRICING INFORMATION - Prices displayed are obtained from sources that may include pricing vendors, broker/dealers who clear through NFS and/or other sources. Prices may not reflect current fair market value and/or may not be readily marketable or redeemable at the prices shown.

FOREIGN EXCHANGE TRANSACTIONS - Some transaction types necessitate a foreign currency exchange (FX) in order to settle. FX transactions may be effected by Fidelity Forex, Inc. on a principal basis. Fidelity Forex, Inc., an affiliate of NFS, may impose a commission or markup on the prevailing interbank market price, which may result in a higher price to you. Fidelity Forex, Inc. may share a portion of any FX commission or markup with NFS. More favorable rates may be available through third parties not affiliated with NFS. The rate applicable to any transaction involving an FX is available upon request through your broker-dealer.

COST BASIS LEGISLATION - New IRS Rules will require National Financial Services to report cost basis and holding period information for the sale of shares of open end Mutual Fund holdings purchased on or after January 1, 2012 on Form 1099-B. National Financial Services determines the cost basis for all shares of open end mutual funds using a default method of average cost. Alternatively, account owners or their brokers and advisors can instruct National Financial Services to determine the cost basis for shares of open end mutual funds by 1) setting up their non-retirement accounts with one of our eleven tax lot disposal methods available to investors or 2) identifying specific tax lots to sell at the time of a transaction. Contact your broker or advisor to learn more about the cost basis tracking of your holdings.

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDQBPH_BB3BB3 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

closely reflect the value at which the security may be sold or purchased based on various market factors. Investment decisions should be made only after consulting your broker-dealer.

Estimated Annual Income (EAI) & Estimated Yield (EY) - EAI for fixed income is calculated using the coupon rate. For all other securities, EAI is calculated using an indicated annual dividend (IAD). The IAD is an estimate of a security's dividend payments for the next 12 months calculated based on prior and/or declared dividends for that security. EY reflects only the income generated by an investment and not changes in its price which may fluctuate. Interest and dividend rates are subject to change at any time and may be affected by current and future economic, political and business conditions. EAI and EY are estimates only and may include return of principal and/or capital gains, which would render them overstated. EAI and EY are provided for informational purposes only and should not be used or relied on for making investment, trading or tax decisions. EAI and EY are based on data obtained from information providers believed to be reliable, but no assurance can be made as to accuracy, timeliness or completeness.

described in the prospectus as well as additional compensation for shareholder services, start-up fees, infrastructure support and maintenance, and other programs. Additional information about the source(s) and amount(s) of compensation as well as other remuneration received by your introducing broker dealer and/or NFS will be furnished to you upon written request. At time of purchase fund shares may be assigned a load, transaction fee or no transaction fee status. At time of sale, any fees applicable to your transaction will be assessed based on the status assigned to the shares at time of purchase. Margin. If you have applied for margin privileges and been approved, you may borrow money from NFS in exchange for pledging the assets in your account as collateral for any outstanding margin loan. The amount you may borrow is based on the value of securities in your margin account, which is identified on your statement. If you have a margin account, this is a combined statement of your margin account and special memorandum account other than your non-purpose margin accounts maintained for you under Section 220.5 of Regulation T issued by the Board of Governors of the Federal Reserve Board. The permanent record of the separate account, as required by Regulation T, is available for your inspection upon request. NYSE and FINRA. All transactions are subject to the consultation, rules, regulations, customs, usages, rulings and interpretations of the exchange market and its clearing house, if any, where the transactions are executed, and of the New York Stock Exchange (NYSE) and of the Financial Industry Regulatory Authority ("FINRA"). The FINRA requires that we notify you in writing of the availability of an investor brochure that includes information describing FINRA Regulation's BrokerCheck Program ("Program"). To obtain a brochure or more information about the Program or FINRA Regulation, contact the FINRA Regulation BrokerCheck Program Hotline at (800) 289-9999 or access the FINRA's web site at www.finra.org. 4311 requires that your broker-dealer and NFS allocate between them certain functions regarding the administration of your brokerage account. The following is a summary of the allocation services performed by your broker-dealer and NFS. A more complete description is available upon request. Your broker-dealer is responsible for: (1) obtaining and verifying brokerage account information and documentation, (2) opening, approving and monitoring your brokerage account, (3) transmitting timely and accurate orders and other instructions to NFS with respect to your brokerage account, (4) determining the suitability of investment recommendations and advice, (5) operating, and supervising your brokerage account and its own activities in compliance with applicable laws and regulations including compliance with margin rules pertaining to your margin account, if applicable, and (6) maintaining required books and records for the services that it performs. NFS shall, at the direction of your broker-dealer: (1) execute, clear and settle transactions processed through NFS by your broker-dealer, (2) prepare and send transaction confirmations and periodic statements of your brokerage account (unless your broker-dealer has undertaken to do so). Certain securities pricing and descriptive information may be provided by your broker-dealer or obtained from third parties deemed to be reliable, however, this information has not been verified by NFS, (3) act as custodian for funds and securities received by NFS on your behalf, (4) follow the instructions of your broker-dealer with respect to transactions and the receipt and delivery of funds and securities for your brokerage account, and (5) extend margin credit for purchasing or carrying securities on margin. Your broker-dealer is responsible for ensuring that your brokerage account is in compliance with federal, industry and NFS margin rules, and for advising you of margin requirements. NFS shall maintain the required books and records for the services it performs. Securities in accounts carried by NFS are protected in accordance with the Securities Investor Protection Corporation ("SIPC") up to \$500,000. The \$500,000 total amount of SIPC protection is inclusive of up to \$250,000 protection for claims for cash, subject to periodic adjustments for inflation in accordance with terms of the SIPC statute and approval by SIPC's Board of Directors. NFS also has arranged for coverage above these limits. Neither coverage protects against a decline in the market value of securities, nor does either coverage extend to certain securities that are considered ineligible for coverage. For more details on SIPC, or to request a SIPC brochure, visit www.sipc.org or call 1-202-371-8300. Funds used to purchase or sweep to a bank deposit are SIPC protected until deposited to a Program Bank at which time funds may be eligible for FDIC insurance. Assets Held Away, commodities, unregistered investment contracts, futures accounts, loaned securities and other investments may not be covered. Precious metals are not covered by SIPC protection. Mutual funds and/or other securities are not backed or guaranteed by any bank, nor are they insured by the FDIC and involve investment risk including possible loss of principal.

End of Statement

722239.7.9

Account carried with National Financial Services LLC, Member
NYSE, SIPC

GLOSSARY Short Account Balances - If you have sold securities under the short sale rule, we have, in accordance with regulations, segregated the proceeds from such transactions in your Short Account. Any market increases or decreases from the original sale price will be marked to the market and will be transferred to your Margin Account on a weekly basis. **Market Value** - The Total Market Value has been calculated out to 9 decimal places, however, the individual unit price is displayed in 5 decimal places. The Total Market Value represents prices obtained from various sources, may be impacted by the frequency in which such prices are reported and such prices are not guaranteed. Prices received from pricing vendors are generally based on current market quotes, but when such quotes are not available the pricing vendors use a variety of techniques to estimate value. These estimates, particularly for fixed income securities, may be based on certain minimum principal amounts (e.g. \$1 million) and may not reflect all of the factors that affect the value of the security, including liquidity risk. The prices provided are not firm bids or offers. Certain securities may reflect "N/A" or "unavailable" where the price for such security is generally not available from a pricing source. The Market Value of a security, including those priced at par value, may differ from its purchase price and may not

CUSTOMER SERVICE: Please review your statement and report any inaccuracy or discrepancy immediately by calling the telephone number of your broker-dealer reflected on the front of this statement. Reports of any inaccuracy or discrepancy regarding your brokerage account or the activity therein should be directed to your broker-dealer at the telephone number and address reflected on the front of this statement and National Financial Services LLC ("NFS").

NFS carries your brokerage account and acts as your custodian for funds and securities that are deposited with NFS by you or your broker-dealer. In addition to your initial contact with your broker-dealer you may contact NFS at (800) 801-9942. Any oral communications regarding inaccuracies or discrepancies should be reconfirmed in writing to protect your rights, including those under the Securities Investor Protection Act ("SIPA"). When contacting either your broker-dealer or NFS, remember to include your entire brokerage account number to ensure a prompt reply.

ADDITIONAL INFORMATION Free credit balances ("FCB") are funds payable to you on demand. FCB are subject to open commitments such as uncleared checks and exclude proceeds from sales of certificated securities without delivery of the certificate. If your FCB is swept to a core position, you can liquidate the core position and have the proceeds sent to you or held in your account subject to the terms of your account agreement. Required rule 10b-10(a) information not contained herein will be provided on written request. Fidelity may use this free credit balance in connection with its business, subject to applicable law.

Credit Adjustment Program. Accountholders receiving payments in lieu of qualified dividends may not be eligible to receive credit adjustments intended to help cover additional associated federal tax burdens. NFS reserves the right to deny the adjustment to any account holder and to amend or terminate the credit adjustment program.

Options Customers. Each transaction confirmation previously delivered to you contains full information about commissions and other charges. If you require further information, please contact your broker-dealer.

Assignments of American and European-style options are allocated among customer short positions pursuant to a random allocation procedure, a description of which is available upon request. Short positions in American-style options are liable for assignment at any time. The writer of a European-style option is subject to exercise assignment only during the exercise period. You should advise your broker-dealer promptly of any material change in your investment objectives or financial situation. **Splits, Dividends, and Interest.** Expected stock split, next dividend payable, and next interest payable information has been provided by third parties and may be subject to change. Information for certain securities may be missing if not received from third parties in time for printing. NFS is not responsible for inaccurate, incomplete, or missing information. Please consult your broker-dealer for more information about expected stock split, next dividend payable, and next interest payable for certain securities.

Equity Dividend Reinvestment Customers. Shares credited to your brokerage account resulted from transactions effected as agent by either: 1) Your broker-dealer for your investment account, or 2) through the Depository Trust Company (DTC) dividend reinvestment program. For broker-dealer effected transactions, the time of the transactions, the exchange upon which these transactions occurred and the name of the person from whom the security was purchased will be furnished upon written request. NFS may have acted as market maker in effecting trades in "over-the-counter" securities.

Retirement Contributions/Distributions. A summary of retirement contributions/distributions is displayed for you in the activity summary section of your statement. **Income Reporting.** NFS reports earnings from investments in Traditional IRAs, Rollover IRAs, SEP-IRAs and Keoghs as tax-deferred income. Earnings from Roth IRAs are reported as tax-free income, since distributions may be tax-free after meeting the 5 year aging requirement and certain other conditions. A financial statement of NFS is available for your personal inspection at its office or a copy of it will be mailed to you upon your written request.

Statement Mailing. NFS will deliver statements by mail or, if applicable, notify you by e-mail of your statement's availability. If you had transactions that affected your cash balances or security positions held in your account(s) during the last monthly reporting period. At a minimum, all brokerage customers will receive quarterly statements (at least four times per calendar year) as long as their accounts contain a cash or securities balance.

Loads and Fees. In connection with (i) access to, purchase or redemption of, and/or maintenance of positions in mutual funds and other investment products ("funds") or (ii) infrastructure needed to support such funds, some funds, or their investment affiliates, pay your introducing broker dealer and/or NFS sales loads and 12b-1 fees

Royal Alliance Associates, Inc.

MN_CEBGWBCWBDDQBHL_BBDBB 20190329

This page is left intentionally blank

UNITED STATES BANKRUPTCY COURT
SOUTHERN DISTRICT OF NEW YORK

X
:
:
In Re : Chapter 11
:
Case No. 18-23538 (RDD)

SEARS HOLDING CORPORATION, et al.,

Debtors

(Jointly Administered)

X

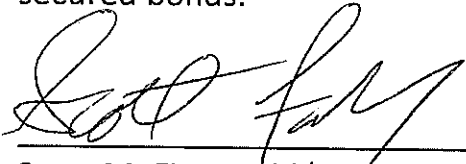
Response to objection by Sears Holding to Proofs of Claims (Reclassifying Claims)

Claim # 17484/USD 115,000.

Claim # 17018 / USD 99,000.

FRANCES R DICKMAN
7 Judith Drive
Greenlawn, NY 11740

Please do not allow Sears Corporation to (i)reclassify to general unsecured claims, as I own second lien PIK notes and purchased these specifically based they were secured bonds.



Scott M. Fitzgerald/Authorized Agent
President

11/5/2021

Steel Ridge Advisors
1377 Motor Pkwy, Suite 204
Islandia, NY 11749
sfitzgerald@steelridgeadvisors.com
(631) 353-0003

Contact \$44,384,4460 Client Login



Sears Holdings Corporation (18-23538)

[CHANGE CASE](#)

[Case Info](#) [Docket](#) [Claims](#) [Submit a Claim](#) [Submit Inquiry](#)

[Search Docket](#) [Search Claim](#)

Schedule	Claim #	Filed Date	Creditor Name	Debtor Name	Claim Value
	17018	04/10/2019	DICKMAN, FRANCES R	Sears Holdings Corporation	\$ 99,000.00

Select scope

Claim Number(s)(e.g. 1,3,5-7)

Schedule Number

Creditor name

Debtor(s)

Select Classification

Select Search Operator

Amount

Date from

Date to

-

[Search Claim](#)

[Reset](#)

Creditor Data Details for Claim # 17018

Creditor
DICKMAN, FRANCES R

Date Filed
04/10/2019

Debtor Name
Sears Holdings Corporation
Schedule Number

Claim Number
17018
Proof of Claim
[View PDF](#) [Email PDF](#)

	Schedule Amount C*U*	Asserted Claim Amount C*U*	Current Claim Status Claim Value
General Unsecured			
Priority			
Secured		\$99,000.00	\$99,000.00 Asserted
503(b)(9) Admin Priority			
Admin Priority			
Total	\$0.00	\$99,000.00	\$99,000.00

*C=Contingent, U=Unliquidated, D=Disputed, F=Foreign

Prime Clerk maintains this website for the public's convenience and for general informational purposes only. Anyone using this website is cautioned NOT to rely on any information contained on this Website, and any user of this website should not take or refrain from taking any action based upon anything included or not included on this website. We are not a law firm or a substitute for

[Open in new window](#)

Page 1 of 1

20

View 1 - 1 of 1

[Home](#) [Leadership](#) [Disclaimer](#) [Terms & Conditions](#)

©2016 Prime Clerk. All rights reserved.

Contact 844.384.4460 Client Login



Sears Holdings Corporation (18-23538)

[CHANGE CASE](#)

[Case Info](#) [Docket](#) [Claims](#) [Submit a Claim](#) [Submit Inquiry](#)

[Search Docket](#) [Search Claim](#)

Schedule	Claim #	Filed Date	Creditor Name	Debtor Name	Claim value
	17018*	04/10/2019	DICKMAN, FRANCES R	Sears Holdings Corporation	\$ 99,000.00

Select scope

Claim Number(s)(e.g. 1,3,5-7)

Schedule Number

Creditor name

Debtor(s)

Select Classification

Select Search Operator

Amount

Date from

Date to

-

[Search Claim](#)

[Reset](#)

Creditor Data Details for Claim # 17018

Creditor
DICKMAN, FRANCES R

Date Filed
04/10/2019

Debtor Name
Sears Holdings Corporation
Schedule Number

Claim Number
17018

Proof of Claim
[View PDF](#) [Email PDF](#)

Schedule Amount CUD*	Asserted Claim Amount CUF*	Current Claim Status	Claim Value
General Unsecured	\$99,000.00	Asserted	\$99,000.00
Priority			
Secured			
503(b)(9) Admin Priority			
Admin Priority			
Total	\$0.00		\$99,000.00

*C=Contingent, U=Unliquidated, D=Disputed, F=Foreign

Prime Clerk maintains this website for the public's convenience and for general informational purposes only. Anyone using this website is cautioned NOT to rely on any information contained on this Website, and any user of this website should not take or refrain from taking any action based upon anything included or not included on this website. We are not a law firm or a substitute for

[Open in new window](#)

Page 1 of 1

20

View 1 - 1 of 1

[Home](#) [Leadership](#) [Disclaimer](#) [Terms & Conditions](#)

©2016 Prime Clerk. All rights reserved.

Fill in this information to identify the case (Select only one Debtor per claim form):

<input checked="" type="checkbox"/> Sears Holdings Corporation (18-23538)	<input type="checkbox"/> Kmart Corporation (18-23549)	<input type="checkbox"/> Sears, Roebuck de Puerto Rico, Inc. (18-23561)	<input type="checkbox"/> MyGofer LLC (18-23573)	<input type="checkbox"/> Kmart.com LLC (18-23585)
<input type="checkbox"/> Sears, Roebuck and Co. (18-23537)	<input type="checkbox"/> MaxServ, Inc. (18-23550)	<input type="checkbox"/> SYW Relay LLC (18-23562)	<input type="checkbox"/> Sears Brands Business Unit Corporation (18-23574)	<input type="checkbox"/> Sears Brands Management Corporation (18-23586)
<input type="checkbox"/> Kmart Holding Corporation (18-23539)	<input type="checkbox"/> Private Brands, Ltd. (18-23551)	<input type="checkbox"/> Wally Labs LLC (18-23563)	<input type="checkbox"/> Sears Holdings Publishing Company, LLC (18-23575)	<input type="checkbox"/> SHC Licensed Business LLC (18-23616)
<input type="checkbox"/> Kmart Operations LLC (18-23540)	<input type="checkbox"/> Sears Development Co. (18-23552)	<input type="checkbox"/> Big Beaver of Florida Development, LLC (18-23564)	<input type="checkbox"/> Kmart of Michigan, Inc. (18-23576)	<input type="checkbox"/> SHC Promotions LLC (18-23630)
<input type="checkbox"/> Sears Operations LLC (18-23541)	<input type="checkbox"/> Sears Holdings Management Corporation (18-23553)	<input type="checkbox"/> California Builder Appliances, Inc. (18-23565)	<input type="checkbox"/> SHC Desert Springs, LLC (18-23577)	<input type="checkbox"/> SRe Holding Corporation (19-22301)
<input type="checkbox"/> ServiceLive, Inc. (18-23542)	<input type="checkbox"/> Sears Home & Business Franchises, Inc. (18-23554)	<input type="checkbox"/> Florida Builder Appliances, Inc. (18-23566)	<input type="checkbox"/> SOE, Inc. (18-23578)	
<input type="checkbox"/> A&E Factory Service, LLC (18-23543)	<input type="checkbox"/> Sears Home Improvement Products, Inc. (18-23555)	<input type="checkbox"/> KBL Holding Inc. (18-23567)	<input type="checkbox"/> StarWest, LLC (18-23579)	
<input type="checkbox"/> A&E Home Delivery, LLC (18-23544)	<input type="checkbox"/> Sears Insurance Services, L.L.C. (18-23556)	<input type="checkbox"/> KLC, Inc. (18-23568)	<input type="checkbox"/> STI Merchandising, Inc. (18-23580)	
<input type="checkbox"/> A&E Lawn & Garden, LLC (18-23545)	<input type="checkbox"/> Sears Procurement Services, Inc. (18-23557)	<input type="checkbox"/> Sears Protection Company (Florida), L.L.C. (18-23569)	<input type="checkbox"/> Troy Coolidge No. 13, LLC (18-23581)	
<input type="checkbox"/> A&E Signature Service, LLC (18-23546)	<input type="checkbox"/> Sears Protection Company (18-23558)	<input type="checkbox"/> Kmart of Washington LLC (18-23570)	<input type="checkbox"/> BlueLight.com, Inc. (18-23582)	
<input type="checkbox"/> FBA Holdings Inc. (18-23547)	<input type="checkbox"/> Sears Protection Company (PR) Inc. (18-23559)	<input type="checkbox"/> Kmart Stores of Illinois LLC (18-23571)	<input type="checkbox"/> Sears Brands, L.L.C. (18-23583)	
<input type="checkbox"/> Innovel Solutions, Inc. (18-23548)	<input type="checkbox"/> Sears Roebuck Acceptance Corp. (18-23560)	<input type="checkbox"/> Kmart Stores of Texas LLC (18-23572)	<input type="checkbox"/> Sears Buying Services, Inc. (18-23584)	

Proof of Claim

04/16

Read the instructions before filling out this form. This form is for making a claim for payment in a bankruptcy case. Do not use this form to make a request for payment of an administrative expense, other than a claim entitled to administrative priority pursuant to 11 U.S.C. § 503(b)(9). Make such a request according to 11 U.S.C. § 503.

Filers must leave out or redact information that is entitled to privacy on this form or on any attached documents. Attach redacted copies of any documents that support the claim, such as promissory notes, purchase orders, invoices, itemized statements of running accounts, contracts, judgments, mortgages, and security agreements. Do not send original documents; they may be destroyed after scanning. If the documents are not available, explain in an attachment.

A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

Fill in all the information about the claim as of the date the case was filed. That date is on the notice of bankruptcy (Form 309) that you received.

Part 1: Identify the Claim

1. Who is the current creditor?	FRANCES R DICKMAN Name of the current creditor (the person or entity to be paid for this claim) Other names the creditor used with the debtor _____	
2. Has this claim been acquired from someone else?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. From whom? _____	
3. Where should notices and payments to the creditor be sent? Federal Rule of Bankruptcy Procedure (FRBP) 2002(g)	Where should notices to the creditor be sent? 7 JUDITH DRIVE GREENLAWN, NY 11740 Contact phone <u>631-651-8687</u> Contact email _____	Where should payments to the creditor be sent? (if different) NATIONAL FINANCIAL SERVICES C/O ROYAL ALLIANCE 10 EXCHANGE PLAZA SUITE 1410 JERSEY CITY, NJ 07302 RQV-003678 Contact phone <u>631-353-0003</u> Contact email <u>sflitzgerald@steelridgeadvisors.com</u>
4. Does this claim amend one already filed?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. Claim number on court claims registry (if known) _____ Filed on _____ MM / DD / YYYY	
5. Do you know if anyone else has filed a proof of claim for this claim?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. Who made the earlier filing? _____	

Part 2: Give Information About the Claim as of the Date the Case Was Filed

6. Do you have any number you use to identify the debtor? ☐ No ☒ Yes. Last 4 digits of the debtor's account or any number you use to identify the debtor: 8 9 4 4

7. How much is the claim? \$ 99,000.00 Does this amount include interest or other charges? ☒ No ☐ Yes. Attach statement itemizing interest, fees, expenses, or other charges required by Bankruptcy Rule 3001(c)(2)(A).

8. What is the basis of the claim? Examples: Goods sold, money loaned, lease, services performed, personal injury or wrongful death, or creditcard. Attach redacted copies of any documents supporting the claim required by Bankruptcy Rule 3001(c). Limit disclosing information that is entitled to privacy, such as health care information.

9. Is all or part of the claim secured? ☐ No ☒ Yes. The claim is secured by a lien on property.

Nature of property:

☐ Real estate. If the claim is secured by the debtor's principal residence, file a *Mortgage Proof of Claim Attachment* (Official Form 410-A) with this *Proof of Claim*.

☐ Motor vehicle

☒ Other. Describe: SEARS HLDGS CORP. 6 5/8% SENIOR SECURED NOTE

Basis for perfection: _____

Attach redacted copies of documents, if any, that show evidence of perfection of a security interest (for example, a mortgage, lien, certificate of title, financing statement, or other document that shows the lien has been filed or recorded.)

Value of property: \$ _____

Amount of the claim that is secured: \$ _____

Amount of the claim that is unsecured: \$ _____ (The sum of the secured and unsecured amounts should match the amount in line 7.)

Amount necessary to cure any default as of the date of the petition: \$ _____

Annual Interest Rate (when case was filed) _____ %

☐ Fixed

☐ Variable

10. Is this claim based on a lease? ☒ No ☐ Yes. Amount necessary to cure any default as of the date of the petition. \$ _____

11. Is this claim subject to a right of setoff? ☒ No ☐ Yes. Identify the property: _____

12. Is all or part of the claim entitled to priority under 11 U.S.C. § 507(a)? ☒ No ☐ Yes. Check one:

A claim may be partly priority and partly nonpriority. For example, in some categories, the law limits the amount entitled to priority.

☐ Domestic support obligations (including alimony and child support) under 11 U.S.C. § 507(a)(1)(A) or (a)(1)(B). Amount entitled to priority \$ _____

☐ Up to \$2,850* of deposits toward purchase, lease, or rental of property or services for personal, family, or household use. 11 U.S.C. § 507(a)(7). \$ _____

☐ Wages, salaries, or commissions (up to \$12,850*) earned within 180 days before the bankruptcy petition is filed or the debtor's business ends, whichever is earlier. 11 U.S.C. § 507(a)(4). \$ _____

☐ Taxes or penalties owed to governmental units. 11 U.S.C. § 507(a)(8). \$ _____

☐ Contributions to an employee benefit plan. 11 U.S.C. § 507(a)(5). \$ _____

☐ Other. Specify subsection of 11 U.S.C. § 507(a)() that applies. \$ _____

* Amounts are subject to adjustment on 4/01/19 and every 3 years after that for cases begun on or after the date of adjustment.

13. Is all or part of the claim entitled to administrative priority pursuant to 11 U.S.C. § 503(b)(9)? ☒ No ☐ Yes. Indicate the amount of your claim arising from the value of any goods received by the Debtor within 20 days before the date of commencement of the above case, in which the goods have been sold to the Debtor in the ordinary course of such Debtor's business. Attach documentation supporting such claim. \$ _____

Part 3: Sign Below

The person completing this proof of claim must sign and date it. FRBP 9011(b).

If you file this claim electronically, FRBP 5005(a)(2) authorizes courts to establish local rules specifying what a signature is.

A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

Check the appropriate box:

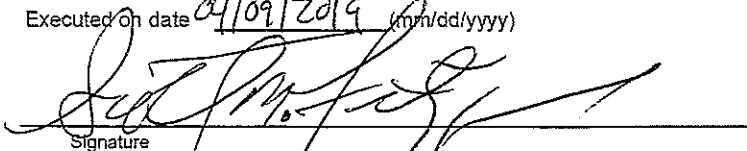
- ☐ I am the creditor.
☒ I am the creditor's attorney or authorized agent.
☐ I am the trustee, or the debtor, or their authorized agent. Bankruptcy Rule 3004.
☐ I am a guarantor, surety, endorser, or other codebtor. Bankruptcy Rule 3005.

I understand that an authorized signature on this *Proof of Claim* serves as an acknowledgment that when calculating the amount of the claim, the creditor gave the debtor credit for any payments received toward the debt.

I have examined the information in this *Proof of Claim* and have a reasonable belief that the information is true and correct.

I declare under penalty of perjury that the foregoing is true and correct.

Executed on date 11/09/2019 (mm/dd/yyyy)


Signature

Print the name of the person who is completing and signing this claim:

Name of the person who is completing and signing this claim:

Name SCOTT M FITZGERALD
First name Middle name Last name

Title PRESIDENT

Company STEEL RIDGE ADVISORS
Identify the corporate servicer as the company if the authorized agent is a servicer.

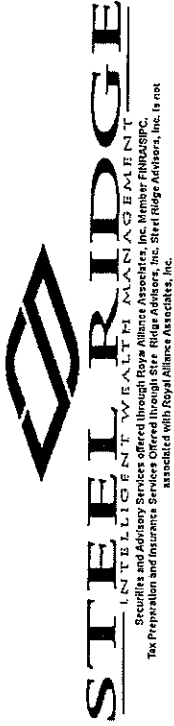
Address 1377 MOTOR PKWY, SUITE 204
Number Street

ISLANDIA NY 11749
City State ZIP Code

Contact phone 631-353-0003 Email sfitzgerald@steelridgeadvisors.com

ENV# CEBGWBCPBBDPXLX BBBBC
ROYAL ALLIANCE ASSOCIATES INC.
10 EXCHANGE PLACE, SUITE 1410
JERSEY CITY, NJ 07302

FRANCES R DICKMAN
TOD DANIEL DICKMAN
7 JUDITH DRIVE
GREENLAWN NY 11740



STATEMENT FOR THE PERIOD MARCH 1, 2019 TO MARCH 31, 2019

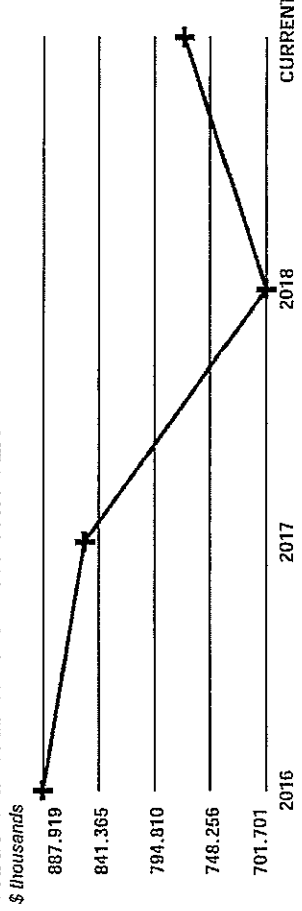
FRANCES R DICKMAN - Individual TOD
Account Number: RQV-003678

YOUR FINANCIAL ADVISOR IS:
SCOTT FITZGERALD
RR#: AZP

For questions about your accounts:
Local: 631 353 0003
In-State: 631 353 0003
National: 631 353 0003

TOTAL VALUE OF YOUR PORTFOLIO \$770,575.93

CHANGE IN VALUE OF YOUR PORTFOLIO



Change In Value Of Your Portfolio information can be found in Miscellaneous Footnotes at the end of this statement.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDPXLX BBBBC 20190329

Statement for the Period March 1, 2019 to March 31, 2019
FRANCES R DICKMAN - Individual TOD
Account Number: RQV-003678

Account Overview

CHANGE IN ACCOUNT VALUE	Current Period	Year-to-Date
BEGINNING VALUE	\$774,971.00	\$701,701.32
Additions and Withdrawals	(\$4,000.00)	(\$12,000.00)
Income	\$676.41	\$4,588.88
Taxes, Fees and Expenses	\$0.00	\$0.00
Change in Value	(\$1,071.48)	\$76,285.73
ENDING VALUE (AS OF 03/31/19)	\$770,575.93	\$770,575.93
Total Pending Accrued Dividends	\$96.00	
Ending Value with Accrued Dividends	\$770,671.93	

Refer to Miscellaneous Footnotes for more information on Change in Value.

Pending dividends and stock distributions reflect projected values only, are subject to change and may not represent the actual amount, if any, that you may receive. This information is provided for informational purposes only and should not be relied on for tax reporting or other purposes.

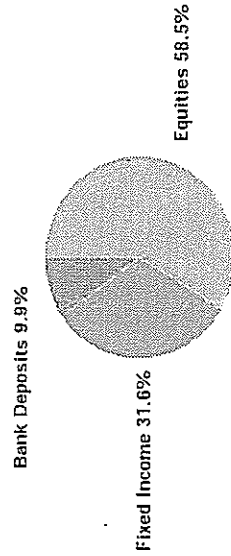
MARGIN PROFILE	as of March 31, 2019
Margin Positions Market Value	\$583,560.92
Margin Balance (Net currency credit/debit)	\$0.00
Margin Equity	\$583,560.92
Margin Equity Percent	100.0%
Equity Buying Power	\$913,112.40
Margin Interest Charged this Period	\$0.00

Balances and Margin availability are reflected as of the closing date of this statement. Please consult with your broker/dealer prior to trading as these amounts may have changed. Refer to Miscellaneous Footnotes at the end of this statement for more information.

Margin balance information reported in this section is based on trade date. Position and balance information reported elsewhere in this statement is based on settlement date.



ACCOUNT ALLOCATION



	Percent	Prior Period	Current Period
Money Markets	0.0 %	\$79,444.91	\$0.00
Bank Deposits	9.9	\$0.00	\$76,121.32
Equities	58.5	\$444,125.85	\$450,629.01
Fixed Income	31.6	\$251,400.24	\$243,825.60
TOTAL	100.0 %	\$774,971.00	\$770,575.93

Cash and Cash Equivalents will include margin, debit and credit balances.

Account Allocation shows the percentage that each asset class represents of your total account value. Account Allocation for equities, fixed income, and other categories may include mutual funds and may be net of short positions. NFS has made assumptions concerning how certain mutual funds are allocated. Closed-end mutual funds and Exchange Traded Products (ETPs) listed on an exchange may be included in the equity allocation. The chart may not reflect your actual portfolio allocation. Consult your broker/dealer prior to making investment decisions.

Statement for the Period March 1, 2019 to March 31, 2019
FRANCES R DICKMAN - Individual TOD
Account Number: RQV-003678



Account Overview *continued*

INCOME			
TAXABLE			
	<i>Current Period</i>	<i>Year-to-Date</i>	
Taxable Dividends	\$581.85	\$3,008.89	
Taxable Interest	\$10.82	\$10.82	
Long-Term Capital Gain	\$0.00	\$1,244.12	
TOTAL TAXABLE	\$592.67	\$4,263.83	
NON-TAXABLE			
	<i>Current Period</i>	<i>Year-to-Date</i>	
Muni Tax Exempt Interest	\$83.74	\$325.05	
TOTAL NON-TAXABLE	\$83.74	\$325.05	
TOTAL INCOME	\$676.41	\$4,588.88	

Taxable income is determined based on information available to NFS at the time the statement was prepared, and is subject to change. Final information on taxation of interest and dividends is available on Form 1099-Div, which is mailed in February of the subsequent year.

REALIZED GAIN (LOSS)			
	<i>Current Period</i>	<i>Year-to-Date</i>	
Short Term Gain	\$0.00	\$0.00	
Short Term Loss	\$0.00	\$0.00	
Disallowed Short Term Loss	\$0.00	\$0.00	
TOTAL SHORT TERM GAIN (LOSS)	\$0.00	\$0.00	
TOTAL LONG TERM GAIN (LOSS)			
Long Term Gain	\$0.00	\$504.56	
Long Term Loss	\$0.00	\$0.00	
Disallowed Long Term Loss	\$0.00	\$0.00	
TOTAL LONG TERM GAIN (LOSS)	\$0.00	\$504.56	

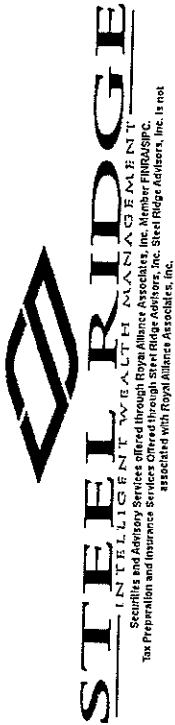
NFS-provided cost basis, realized gain (loss) and holding period information may not reflect all adjustments necessary for your tax reporting purposes. Please refer to Footnotes and Cost Basis Information at the end of this statement for more information.

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDPXLIR_BBHBC 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
FRANCES R DICKMAN - Individual TOD
Account Number: RQV-003678



Account Overview *continued*

MESSAGES AND ALERTS

DRS - Direct Registration System Transfer Agent Fee Effective May 1, 2014, three transfer agents, Computershare, Wells Fargo, and Registrar and Transfer Company are implementing a \$15 transfer fee for each position moved into your brokerage account via book entry Direct Registration System - DRS. If the fee is charged by the agent, NFS will pass through the charge to the account. As a reminder, there is already an existing fee charged to accounts for outgoing DRS transfers. Please contact your Financial Advisor if you have any questions regarding this fee.

Beginning in January 2019, National Financial Services will enhance the end-investor statement with the following changes. Payee details will be displayed within Activity Sections Description field for transactions that have associated Payee information. A summary level total of Short Dividends charged will be reported within the Account Overview section. Change in Value of Your Portfolio graph will show minimum and maximum scaling on the Y axis, include Negative values and, use clearer data points for information displayed.

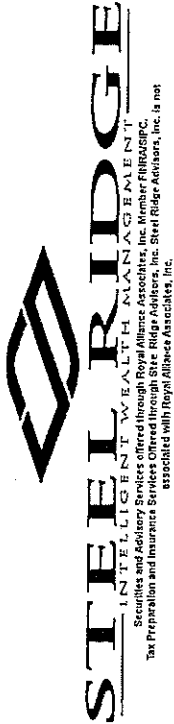
National Financial Services LLC NFS is required by the Securities Exchange Act of 1934 to provide certain financial information from its Statement of Financial Condition. At December 31, 2018, NFS, an affiliate of Fidelity Brokerage Services LLC, had net capital of \$4,012 million, which was 13.67 percent of aggregate debit items and exceeded its minimum requirement by \$3,425 million. To acquire the Statement of Financial Condition, log on to www.anybrokerageinfo.com. If you wish to obtain a copy of this document at no cost, please call 800-439-5627.

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDPXL_R_BBBBC 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
FRANCES R DICKMAN - Individual TOD
Account Number: RQV-003678



Holdings

NFS-provided cost basis, realized gain (loss) and holding period information may not reflect all adjustments necessary for tax purposes. Please refer to Footnotes and Cost Basis Information at the end of this statement for more information.

For additional information regarding your holdings, please refer to the footnotes at the end of the statement.

CASH AND CASH EQUIVALENTS - 9.88% of Total Account Value

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income
Bank Deposits					
Bank deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). Funds used to purchase or sweep to a bank deposit are SIPC protected until deposited to a Program Bank at which time funds may be eligible for FDIC insurance. Customers are responsible for monitoring their total deposits at each Program Bank to determine the extent of available FDIC insurance. Refer to the Bank Deposit Detail section which appears later in this statement for information on the banks holding your deposits. If your account was established on the last business day of this month, your statement will not include a Bank Deposit Detail section.					
ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED)	QAGCQ CASH	76,121.32	\$1.00	\$76,121.32	
Estimated Annual Yield	0.26%				
Total Cash and Cash Equivalents				\$76,121.32	

HOLDINGS > EQUITIES - 34.67% of Total Account Value

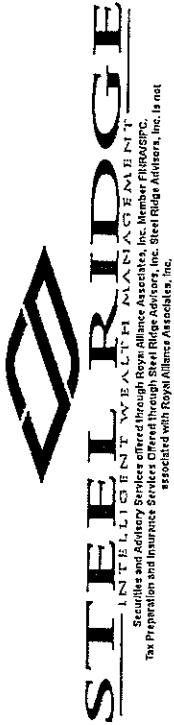
Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
Equity							
ALTRIA GROUP INC	MO MARGIN	120	\$57.43	\$6,891.60	\$384.00	\$4,128.26	\$2,763.34
Estimated Yield 5.57%							
Dividend Option Cash							
Capital Gain Option Cash							
Next Dividend Payable: 04/30/19							
Average Unit Cost	\$34.40						
APPLE INC COM USD0.00001	AAPL MARGIN	100	\$189.95	\$18,995.00	\$292.00	\$17,201.10	\$1,793.90
Estimated Yield 1.53%							
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost	\$172.01						

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDPXLRL_BBBC 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
FRANCES R DICKMAN - Individual TOD
Account Number: RQV-003678



HOLDINGS > EQUITIES *continued*

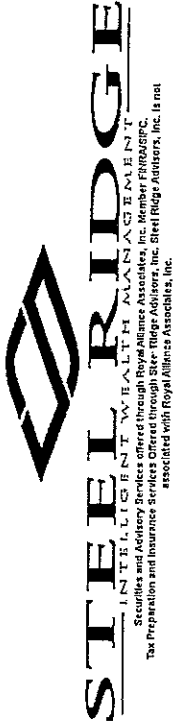
Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
AT&T INC COM USD1	T	995	\$31.36	\$31,203.20	\$2,029.80	\$30,518.78	\$684.42
Estimated Yield 6.50%	MARGIN						
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost \$30.67							
EXXON MOBIL CORP	XOM	50	\$80.80	\$4,040.00	\$164.00	\$5,211.00	(\$1,171.00)
Estimated Yield 4.05%	MARGIN						
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost \$104.22							
MICROSOFT CORP	MSFT	200	\$117.94	\$23,588.00	\$368.00	\$16,945.00	\$6,643.00
Estimated Yield 1.56%	MARGIN						
Dividend Option Cash							
Capital Gain Option Cash							
Next Dividend Payable: 06/13/19							
Average Unit Cost \$84.73							
NETELIX COM INC COM	NFLX	200	\$356.56	\$71,312.00		\$40,988.12	\$30,323.88
Dividend Option Cash	MARGIN						
Capital Gain Option Cash							
Average Unit Cost \$204.94							
NORTHSTAR HEALTHCARE INCM INC COM	66705T105	10,220.277	\$7.10	\$72,563.97		\$78,415.60	(\$5,851.63)
BASED ON AN INDEPENDENT APPRAISAL	CASH						
Average Unit Cost \$7.67							
VALERO ENERGY CORP	VLO	93	\$84.83	\$7,889.19	\$334.80	\$5,110.64	\$2,778.55
Estimated Yield 4.24%	MARGIN						
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost \$54.95							

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDPXL_R_BBBBC 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
FRANCES R DICKMAN - Individual TOD
Account Number: RQV-003678



HOLDINGS > EQUITIES *continued*

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
VERIZON COMMUNICATIONS	VZ	519	\$59.13	\$30,608.47	\$1,250.79	\$21,303.47	\$9,385.00
Estimated Yield 4.07%	MARGIN						
Dividend Option Cash							
Capital Gain Option Cash							
Next Dividend Payable: 05/01/19							
Average Unit Cost \$41.05							
Total Equity				\$267,171.43	\$4,823.39	\$219,821.97	\$47,349.46
Total Equities				\$267,171.43	\$4,823.39	\$219,821.97	\$47,349.46

HOLDINGS > FIXED INCOME - 8.18% of Total Account Value

For an explanation of fixed income pricing, please see the last page. Redemption schedule(s), bond rating(s), and other information are provided where available. If information does not appear regarding a particular investment, it is not available. The ratings on this statement are provided by Standard & Poor's and/or Moody's to rate the quality based on the respective rating agency's assessment. Ratings information from Standard & Poor's ("S&P") may not be reproduced. S&P credit ratings are statements of opinion and are not statements of fact or recommendations to purchase, hold, or sell securities, nor do they address the suitability of securities for investment purposes, and should not be relied on as investment advice. S&P does not guarantee the accuracy, completeness, timeliness or availability of any information, including ratings, and is not responsible for errors or omissions (negligent or otherwise). S&P gives no express or implied warranties, including but not limited to any warranties of merchantability or fitness for a particular purpose or use. S&P shall not be liable for any direct, indirect, incidental, exemplary, compensatory, punitive, special or consequential damages, costs, expenses, legal fees, or losses (including lost income or profits and opportunity costs) in connection with any use of ratings.

Description	Symbol/Cusip Account Type	Quantity	Estimated Price on 03/31/19	Estimated Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
Corporate Bonds							
SEARS HLDGS CORP NOTE CALL MAKE WHOLE	812350AE6	99,000	\$12.00	\$11,880.00		\$98,635.75	
6.62500% 10/15/2018	MARGIN						
MOODY'S WR							
CPN PMT SEMI-ANNUAL							
ON OCT 15, APR 15							
CONTINUOUSLY CALLABLE							
IN MONETARY DEFAULT							
Average Unit Cost \$99.63							
Adjusted Cost Basis							
Municipal Bonds							
PUERTO RICO COMWILTH PUB IMPT BDS SER.	745145Q70	65,000	\$78.625	\$38,329.69		\$37,683.43	\$616.26
05.50000% 07/01/2016 2003A	CASH						
INSURED BY FGIC							
UNLIMITED GEN OBLIG							
MOODY'S WR							
CPN PMT SEMI-ANNUAL							
						\$98,635.75	(\$86,755.75)

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDPXL_R_BBBBC 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
FRANCES R DICKMAN - Individual TOD
Account Number: RQV-003678



HOLDINGS > FIXED INCOME *continued*

Description	Symbol/Cusip Account Type	Quantity	Estimated Price on 03/31/19	Estimated Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
PUERTO RICO COMWLT PUB IMPT BDS SER. 745145Q70 <i>continued</i>							
ON JAN 01, JUL 01 IN MONETARY DEFAULT Factor 0.75 Current face \$48,750 Average Unit Cost \$57.97	745145Q70						
PUERTO RICO COMWLT REF PUB IMPT BDS 05.50000% 07/01/2017 SER. 2007-A-1 UNLIMITED GEN OBLIG MOODY'S WR /S&P D CPN PMT SEMI-ANNUAL ON JAN 01, JUL 01 IN MONETARY DEFAULT Average Unit Cost \$90.93 Adjusted Cost Basis	74514LNA1 MARGIN	20,000	\$64.25	\$12,850.00		\$18,186.40	
Total Municipal Bonds		85,000		\$51,179.69		\$18,186.40 D	(\$5,336.40)
Total Fixed Income		184,000		\$63,059.69		\$55,869.83	(\$4,690.14)
HOLDINGS > MUTUAL FUNDS - 47.27% of Total Account Value						\$154,505.58	(\$91,445.89)

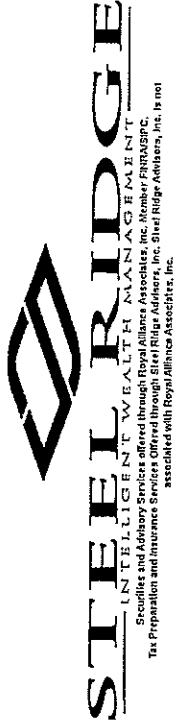
Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
Equity							
FIDELITY ADVISOR EQUITY INCOME CL C Estimated Yield 1.76% Dividend Option Cash Capital Gain Option Cash Average Unit Cost \$30.25	FEICX MARGIN	2,479.339	\$27.93	\$69,247.94	\$1,222.31	\$75,004.00	(\$5,756.06)
FIDELITY ADVISOR MID CAP II CL C Dividend Option Cash Capital Gain Option Cash Average Unit Cost \$16.29	FIICX MARGIN	1,841.621	\$15.79	\$29,079.20		\$30,004.00	(\$924.80)
FIDELITY ADVISOR NEW INSIGHTS CL C Dividend Option Cash Capital Gain Option Cash Average Unit Cost \$23.80	FNICX MARGIN	1,470.588	\$25.97	\$38,191.17		\$35,004.00	\$3,187.17

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEBGWBCPBBDIPXLR_BBBC 20190329

Statement for the Period March 1, 2019 to March 31, 2019
FRANCES R DICKMAN - Individual TOD
Account Number: RQV-003678



HOLDINGS > MUTUAL FUNDS *continued*

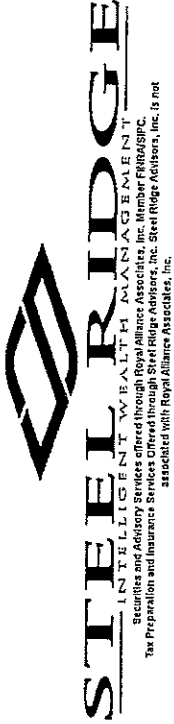
Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
INVESTCO CHARTER CLASS C	CHTCX	1,465.416	\$15.46	\$22,655.33		\$25,004.00	(\$2,348.67)
Dividend Option Cash	MARGIN						
Capital Gain Option Cash							
Average Unit Cost \$17.06							
OPPENHEIMER RISING DIVIDENDS FD CL C	OCRDX	1,556.663	\$15.60	\$24,283.94	\$158.20	\$25,004.00	(\$720.06)
Estimated Yield 0.65%	MARGIN						
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost \$16.06							
Total Equity				\$183,457.58	\$1,380.51	\$190,020.00	(\$6,562.42)
Fixed Income							
FIDELITY ADV STRAT DIVIDEND & INC CL C	FCSDX	5,085.782	\$14.79	\$75,218.72	\$1,479.96	\$75,008.00	\$210.72
Estimated Yield 1.96%	MARGIN						
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost \$14.75							
FIDELITY ADVISOR HIGH INCOME C	FGSMX	12,062.536	\$8.75	\$105,547.19	\$4,287.00	\$118,707.28	(\$13,160.09)
Estimated Yield 4.07%	MARGIN						
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost \$9.84							
Total Fixed Income				\$180,765.91	\$5,776.96	\$193,715.28	(\$12,949.37)
Total Mutual Funds				\$364,223.49	\$7,157.47	\$383,735.28	(\$19,611.79)
Total Securities				\$694,454.61	\$11,980.86	\$758,062.83	(\$63,608.22)
TOTAL PORTFOLIO VALUE				\$770,575.93	\$11,980.86	\$758,062.83	(\$63,608.22)

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDPXLRL_BBBBC 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
FRANCES R DICKMAN - Individual TOD
Account Number: RQV-003678



Activity

NFS-provided cost basis, realized gain (loss) and holding period information may not reflect all adjustments necessary for tax purposes. Please refer to Footnotes and Cost Basis Information at the end of this statement for more information.

PURCHASES, SALES, AND REDEMPTIONS

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
Securities Sold					
03/11/19	CASH	YOU SOLD	FIDELITY GOVT MMKT CAPITAL RESERVES CL FZAXX TO QAGCQ	(75,849.44)	\$75,849.44
Total Securities Sold					\$75,849.44

ACTIVITY > CORE FUND ACTIVITY

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
03/01/19	CASH	YOU SOLD	FIDELITY GOVT MMKT CAPITAL RESERVES CL @ 1	(3,679.17)	\$3,679.17
03/05/19	CASH	YOU BOUGHT	FIDELITY GOVT MMKT CAPITAL RESERVES CL @ 1	83.7	(\$83.70)
03/11/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) @ 1	41	(\$41.00)
03/11/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) QAGCQ IS LIQUID	75,849.44	(\$75,849.44)
03/14/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) @ 1	92	(\$92.00)
03/22/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) @ 1	9.25	(\$9.25)
03/29/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) @ 1	118.81	(\$118.01)

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member NYSE, SIPC

MN_CEBGWBCPBBDPFLR_BBBBC 20190329

Statement for the Period March 1, 2019 to March 31, 2019
FRANCES R DICKMAN - Individual TOD
Account Number: RQV-003678



ACTIVITY > CORE FUND ACTIVITY *continued*

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
03/29/19	CASH	REINVESTMENT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) NET INT REINVEST	10.82	(\$10.82)
TOTAL CORE FUND ACTIVITY					(\$72,525.85)

ACTIVITY > ADDITIONS AND WITHDRAWALS > OTHER ADDITIONS AND WITHDRAWALS

Date	Account Type	Transaction	Description	Quantity	Amount
Other Additions and Withdrawals					
03/01/19	CASH	EFT FUNDS PAID	EFT FUNDS PAID ED97023589 TD BANK NA *****3813		(\$4,080.00)
Total Other Additions and Withdrawals					(\$4,080.00)
TOTAL ADDITIONS AND WITHDRAWALS					(\$4,080.00)

ACTIVITY > INCOME > TAXABLE INCOME

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
Taxable Dividends					
02/28/19	CASH	DIVIDEND RECEIVED	FIDELITY ADVISOR HIGH INCOME C		\$320.83
03/05/19	MARGIN	DIVIDEND RECEIVED	VALERO ENERGY CORP		\$83.70
03/11/19	MARGIN	DIVIDEND RECEIVED	EXXON MOBIL CORP		\$41.00
03/14/19	MARGIN	DIVIDEND RECEIVED	MICROSOFT CORP		\$92.00
03/21/19	CASH	DIVIDEND RECEIVED	OPPENHEIMER RISING DIVIDENDS FD CL C		\$9.25
03/29/19	CASH	DIVIDEND RECEIVED	FIDELITY GOVT MMKT CAPITAL RESERVES CL DIVIDEND RECEIVED		\$35.07
Total Taxable Dividends					\$581.85

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEBGWBCPBBDPXLIR_BBDBC 20190329

Statement for the Period March 1, 2019 to March 31, 2019
FRANCES R DICKMAN - Individual TOD
Account Number: RQV-003678



ACTIVITY > INCOME > TAXABLE INCOME *continued*

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
Taxable Interest					
03/29/19	CASH	INTEREST RECEIVED	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED)		\$10.82
Total Taxable Interest					\$10.82
Total Taxable Income					\$592.67

ACTIVITY > INCOME > NON-TAXABLE INCOME

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
Muni Tax Exempt Interest					
02/07/19	CASH	MUNI EXEMPT INT	PUERTO RICO COMWLTH PUB IMPT BDS SER. 05.50000% 07/01/2016 2003A		\$83.74
Total Muni Tax Exempt Interest					\$83.74
Total Non-Taxable Income					\$83.74
TOTAL INCOME					\$676.41

ACTIVITY > PENDING DISTRIBUTIONS

Pending dividends and stock distributions reflect projected values only, are subject to change and may not represent the actual amount, if any, that you may receive. This information is provided for informational purposes only and should not be relied on for tax reporting or other purposes.

Symbol/Cusip	Security Description	Eligible Quantity	Rate	Payment Amount
Pending Accrued Dividends				
MO	ALTRIA GROUP INC	120	\$0.80	\$96.00
Total Pending Accrued Dividends				\$96.00

Statement for the Period March 1, 2019 to March 31, 2019
FRANCES R DICKMAN - Individual TOD
Account Number: RQV-003678



ACTIVITY > BANK DEPOSIT DETAIL

Bank deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). Customers are responsible for monitoring their total deposits at each Program Bank to determine the extent of available FDIC insurance. Your Ending Balance at each Program Bank as of the end of this statement period is shown below. If you participate in a Bank Deposit Sweep Program and also hold a Bank Deposit Direct Investment, the Bank Deposit Detail section lists banks and ending balances for both programs. Funds pending settlement reflect deposits to (credit) or withdrawals from (debit) a Program Bank. Subject to the terms of the applicable bank deposit disclosure, customers are reminded that funds are deposited to a Program Bank on the business day following the date that funds are credited to your account and until swept to a Program Bank, funds are covered by SIPC.

Bank	Beginning Balance	Ending Balance
Capital One Bank	\$0.00	\$76,002.51
Current Month's Pending Settlement		\$118.81
Total Bank Deposits	\$0.00	\$76,121.32

Footnotes and Cost Basis Information

Amortization, accretion and similar adjustments to cost basis have been provided for many fixed income securities (and some bond-like equities), however, they are not provided for certain types, such as short-term instruments, Unit Investment Trusts, foreign fixed income securities, or those that are subject to early prepayment of principal (pay downs). Where current year premium or acquisition premium amortization is provided, the prior years' cumulative amortization is reflected in the adjusted cost basis, but we cannot provide a breakdown or the total of such prior amortization amounts.

NFS is required to report certain cost basis and related information to the IRS on the Form 1099-B. Your official 1099-B forms for certain transactions will reflect which lots have been sold for tax purposes. To apply a specific identification cost basis method to 1099-B reporting, appropriate instructions must be on file with NFS or be received by NFS before the trade has settled. Absent such instructions, NFS determines cost basis at the time of sale based on its default methods of average cost for open-end mutual funds and first-in, first-out (FIFO) for all other (including ETFs) unless your broker dealer has elected to use another default method. NFS applies FIFO (or other disposal method, if applicable) based on its records, which may be different from yours. For transactions that are not subject to 1099-B cost basis reporting, you should refer to your trade confirmations and other applicable records to determine which lots were considered sold for tax purposes.

While NFS must meet IRS requirements with respect to certain information required to be reported to the IRS, NFS-provided cost basis, realized gain and loss, and holding period information may not reflect all adjustments necessary for your tax reporting purposes. NFS makes no warranties with respect to and specifically disclaims any liability arising out of a customer's use of, or any tax position taken in reliance upon, such information.

For investments in partnerships, NFS does not make any adjustments to cost basis information as the calculation of basis in such investments requires supplemental information from the partnership on its income and distributions during the period you held your investment. Partnerships usually provide this additional information on a Form K-1 issued by April 15th of the following year.

Consult your tax advisor for further information.

T - Cost basis information was provided by a third party. We treat it as original cost basis, as of the date it is provided, and we assume that for equities, it reflects any prior corporate actions, and for asset-backed fixed income securities, it reflects any prior principal pay downs. D - Adjusted cost basis reflects any cumulative original issue discount, premium, or acquisition premium, and it assumes such amounts were amortized by the taxpayer over the life of the security from acquisition date through disposition date. For securities still held, maturity date was used instead of disposition date. Premium amortization was calculated using the yield-to-maturity method. Acquisition premium was calculated using the ratable accrual method. If applicable, adjusted cost basis reflects market discount accretion which was calculated using the straight-line method and was recognized at disposition date. Gain/loss displayed for this transaction was based on cost basis as adjusted for premium and discount as stated above and does not reflect any losses disallowed because of wash sales (if applicable). The adjusted cost basis may not reflect all adjustments necessary for tax reporting purposes and may also not apply if you are using an alternative amortization calculation method. Refer to IRS Publication 550, Investment Income and Expenses, for additional information.

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEBGWBCPBBDPXL_BBBBC 20190329

Statement for the Period March 1, 2019 to March 31, 2019
FRANCES R DICKMAN - Individual TOD
Account Number: RQV-003678



Footnotes and Cost Basis Information *continued*

If a sale, redemption or other disposition involved multiple tax lots, the transaction's totals may have been calculated using a combination of adjusted and unadjusted cost basis information. For lots where adjusted cost basis and its associated gain/loss are known, that was used, otherwise "regular" unadjusted cost basis and its associated gain/loss was used.

Miscellaneous Footnotes

CHANGE IN VALUE OF YOUR PORTFOLIO is the change in market value of your portfolio assets over the time period shown. The portfolio assets include the market value of all the securities in the account, plus insurance and annuity assets if applicable. The time frame of the graph is from account opening or September 2011, whichever is later, to the current period. Please note that large increases and/or declines in the value of the portfolio can be due to additions, distribution and/or performance.

CHANGE IN VALUE reflects appreciation or depreciation of your holdings due to price changes plus any activity not reflected within Additions and Withdrawals, Income, Taxes, Fees and Expenses, and Other Activity sections. Change in Value does not reflect activity related to assets in which NFS is not the custodian (e.g. Insurance and Annuities, Assets Held Away and Other Assets Held Away).

MARGIN - You have been approved for margin privileges and may borrow money from NFS in exchange for pledging the assets in your account(s) as collateral for any outstanding margin loan. The amount you may borrow is based on the value of securities in your margin account, identified as Margin Positions Market Value on this statement. This statement shows the combined balance of your margin account and a special memorandum account maintained for you under Section 220.5 of Regulation T issued by the Board of Governors of the Federal Reserve Board. The permanent record of the separate account, as required by Regulation T, is available for your inspection.

MARGIN POSITIONS MARKET VALUE is the market value for all positions held in the margin account using the previous business day's closing price.

MARGIN BALANCE is the net U.S. dollar equivalent value of all currency balances (credit and/or debit) held in your margin account, as well as pending trades that will settle after the closing date of the statement and amounts needed to meet margin requirements.

SHORT POSITIONS MARKET VALUE is the market value for all positions held in the short account using the previous business day's closing price.

SHORT BALANCE is the net U.S. dollar equivalent value of all currency balances (credit and/or debit) held in your short account, as well as pending trades that will settle after the closing date of the statement and amounts needed to meet margin requirements.

MARGIN EQUITY is the value of all margin positions in the account less any margin debit balance plus any margin credit balance.

MARGIN EQUITY PERCENTAGE is the equity percentage of the margin market value of the account (The margin equity divided by the margin market value).

EQUITY BUYING POWER is the maximum dollar amount available, including cash and margin, to purchase marginable equity securities without adding money to the account. Buying power calculations include open order commitments, intraday trade executions, and money movement into and out of the account.

MARGIN INTEREST CHARGED THIS PERIOD is the U.S. dollar equivalent value of the interest charged on margin debit balances since the last statement period.

CALLABLE SECURITIES LOTTERY - When street name or bearer securities held for you are subject to a partial call or partial redemption by the issuer, NFS may or may not receive an allocation of called/redemmed securities by the issuer, transfer agent and/or depository. If NFS is allocated a portion of the called/redemmed securities, NFS utilizes an impartial lottery allocation system, in accordance with applicable rules, that randomly selects the securities within customer accounts that will be called/redemmed. NFS' allocations are not made on a pro rata basis and it is possible for you to receive a full or partial allocation, or no allocation. You have the right to withdraw uncalled fully paid securities at any time prior to the cutoff date and time established by the issuer, transfer agent and/or depository with respect to the partial call, and also to withdraw excess margin securities provided your account is not subject to restriction under Regulation T or such withdrawal will not cause an undermargined condition.

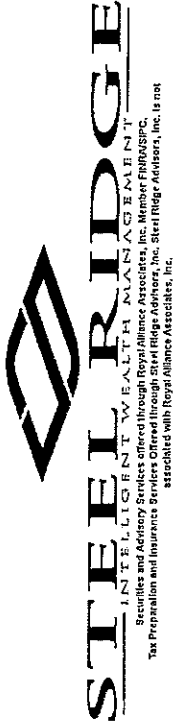
Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEBGWBCPBBDPXL_R_BBBBC 20190329

Statement for the Period March 1, 2019 to March 31, 2019

FRANCES R DICKMAN - Individual TOD
Account Number: RQV-003678



Miscellaneous Footnotes *continued*

PRICING INFORMATION - Prices displayed are obtained from sources that may include pricing vendors, broker/dealers who clear through NFS and/or other sources. Prices may not reflect current fair market value and/or may not be readily marketable or redeemable at the prices shown.

FOREIGN EXCHANGE TRANSACTIONS - Some transaction types necessitate a foreign currency exchange (FX) in order to settle. FX transactions may be effected by Fidelity Forex, Inc. on a principal basis. Fidelity Forex, Inc., an affiliate of NFS, may impose a commission or markup on the prevailing interbank market price, which may result in a higher price to you. Fidelity Forex, Inc. may share a portion of any FX commission or markup with NFS. More favorable rates may be available through third parties not affiliated with NFS. The rate applicable to any transaction involving an FX is available upon request through your broker-dealer.

COST BASIS LEGISLATION - New IRS Rules will require National Financial Services to report cost basis and holding period information for the sale of shares of open end Mutual Fund holdings purchased on or after January 1, 2012 on Form 1099-B. National Financial Services determines the cost basis for all shares of open end mutual funds using a default method of average cost. Alternatively, account owners or their brokers and advisors can instruct National Financial Services to determine the cost basis for shares of open end mutual funds by 1) selling up their non-retirement accounts with one of our eleven tax lot disposal methods available to investors or 2) identifying specific tax lots to sell at the time of a transaction. Contact your broker or advisor to learn more about the cost basis tracking of your holdings.

AI - Investments such as direct participation program securities (e.g., partnerships, limited liability companies, and real estate trusts which are not listed on any exchange), commodity pools, private equity, private debt and hedge funds are generally illiquid investments and their current values will be different from the purchase price. Unless otherwise indicated, the values shown on this statement for such investments have been provided by the management, administrator or sponsor of each program, or a third-party vendor without independent verification by NFS or your broker/dealer and represent their estimate of the value of the investor's participation in the program, as of a date no greater than 12 months from the date of this statement. Therefore, the price received upon liquidation may be less than the per share estimated value provided in the statement. If an estimated value is not provided, accurate valuation information is not available.

Royal Alliance Associates, Inc.

MN_CERGWBPCBBDPXLR_BBBBC 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

closely reflect the value at which the security may be sold or purchased based on various market factors. Investment decisions should be made only after consulting your broker-dealer.

Estimated Annual Income (EAI) & Estimated Yield (EY) - EAI for fixed income is calculated using the coupon rate. For all other securities, EAI is calculated using an indicated annual dividend (IAD). The IAD is an estimate of a security's dividend payments for the next 12 months calculated based on prior and/or declared dividends for that security. EY reflects only the income generated by an investment and not changes in its price which may fluctuate. Interest and dividend rates are subject to change at any time and may be affected by current and future economic, political and business conditions. EAI and EY are estimates only and may include return of principal and/or capital gains, which would render them overstated. EAI and EY are provided for informational purposes only and should not be used or relied on for making investment, trading or tax decisions. EAI and EY are based on data obtained from information providers believed to be reliable, but no assurance can be made as to accuracy, timeliness or completeness.

described in the prospectus as well as additional compensation for shareholder services, start-up fees, infrastructure support and maintenance, and other programs. Additional information about the source(s) and amount(s) of compensation as well as other remuneration received by your introducing broker dealer and/or NFS will be furnished to you upon written request. At time of purchase fund shares may be assigned a load, transaction fee or no transaction fee status. At time of sale, any fees applicable to your transaction will be assessed based on the status assigned to the shares at time of purchase. **Margin**. If you have applied for margin privileges and been approved, you may borrow money from NFS in exchange for pledging the assets in your account as collateral for any outstanding margin loan. The amount you may borrow is based on the value of securities in your margin account, which is identified on your statement. If you have a margin account, this is a combined statement of your margin account and special memorandum account other than your non-purpose margin accounts maintained for you under Section 220.5 of Regulation T issued by the Board of Governors of the Federal Reserve Board. The permanent record of the separate account, as required by Regulation T, is available for your inspection upon request. **NYSE and FINRA**. All transactions are subject to the constitution, rules, regulations, customs, usages, rulings and interpretations of the exchange market and its clearing house, if any, where the transactions are executed, and of the New York Stock Exchange (NYSE) and of the Financial Industry Regulatory Authority ("FINRA"). The FINRA requires that we notify you in writing of the availability of an investor brochure that includes information describing FINRA Regulation's BrokerCheck Program ("Program"). To obtain a brochure or more information about the Program or FINRA Regulation, contact the FINRA Regulation BrokerCheck Program Hotline at (800) 289-9999 or access the FINRA's web site at www.finra.org.

4311 requires that your broker-dealer and NFS allocate between them certain functions regarding the administration of your brokerage account. The following is a summary of the allocation services performed by your broker-dealer and NFS. A more complete description is available upon request. **Your broker-dealer is responsible for:** (1) obtaining and verifying brokerage account information and documentation, (2) opening, approving to monitor your brokerage account, (3) transmitting timely and accurate orders and other instructions to NFS with respect to your brokerage account, (4) determining the suitability of investment recommendations and advice, (5) operating, and supervising your brokerage account and its own activities in compliance with applicable laws and regulations including compliance with margin rules pertaining to your margin account, if applicable, and (6) maintaining required books and records for the services that it performs. **NFS shall, at the direction of your broker-dealer:** (1) execute, clear and settle transactions processed through NFS by your broker-dealer, (2) prepare and send transaction confirmations and periodic statements of your brokerage account (unless your broker-dealer has undertaken to do so). Certain securities pricing and descriptive information may be provided by your broker-dealer or obtained from third parties deemed to be reliable, however, this information has not been verified by NFS. (3) act as custodian for funds and securities received by NFS on your behalf, (4) follow the instructions of your broker-dealer with respect to transactions and the receipt and delivery of funds and securities for your brokerage account, and (5) extend margin credit for purchasing or carrying securities on margin. Your broker-dealer is responsible for ensuring that your brokerage account is in compliance with federal, industry and NFS margin rules, and for advising you of margin requirements. NFS shall maintain the required books and records for the services it performs. **Securities in accounts carried by NFS are protected in accordance with the Securities Investor Protection Corporation ("SIPC")** up to \$500,000. The \$500,000 total amount of SIPC protection is inclusive of up to \$250,000 protection for claims for cash, subject to periodic adjustments for inflation in accordance with terms of the SIPC statute and approval by SIPC's Board of Directors. NFS also has arranged for coverage above these limits. Neither coverage protects against a decline in the market value of securities, nor does either coverage extend to certain securities that are considered ineligible for coverage. For more details on SIPC, or to request a SIPC brochure, visit www.sipc.org or call 1-202-371-8300. Funds used to purchase or sweep to a bank deposit are SIPC protected until deposited to a Program Bank at which time funds may be eligible for FDIC insurance. Assets Held Away, commodities, unregistered investment contracts, futures accounts, loaned securities and other investments may not be covered. Precious metals are not covered by SIPC protection. Mutual funds and/or other securities are not backed or guaranteed by any bank, nor are they insured by the FDIC and involve investment risk including possible loss of principal.

End of Statement

722239.7.0

Account carried with National Financial Services L.L.C. Member
NYSE, SIPC

MN_CEBGWBCBDDPXL_R_BBBBC 20190329

Royal Alliance Associates, Inc.

Page 16 of 16

LOSSARY Short Account Balances-If you have sold securities under the short sale rule, we have, in accordance with regulations, segregated the proceeds from such transactions in your Short Account. Any market increases or decreases from the original sale price will be marked to the market and will be transferred to your Margin Account on a weekly basis. **Market Value** - The Total Market Value has been calculated out to decimal places; however, the individual unit price is displayed in 5 decimal places. The Total Market Value represents prices obtained from various sources, may be impacted by the frequency in which such prices are reported and such prices are not guaranteed. Prices received from pricing vendors are generally based on current market quotes, but when such quotes are not available the pricing vendors use a variety of techniques to estimate value. These estimates, particularly for fixed income securities, may be based on certain minimum principal amounts (e.g. \$1 million) and may not reflect all of the factors that affect the value of the security, including liquidity risk. The prices provided are not firm bids or offers. Certain securities may reflect "WA" or "unavailable" where the price for such security is generally not available from a pricing source. The Market Value of a security, including those priced at par value, may differ from its purchase price and may not

CUSTOMER SERVICE: Please review your statement and report any inaccuracy or discrepancy immediately by calling the telephone number of your broker-dealer reflected on the front of this statement. Reports of any inaccuracy or discrepancy regarding your brokerage account or the activity therein should be directed to your broker-dealer at the telephone number and address reflected on the front of this statement and National Financial Services LLC ("NFS").

NFS carries your brokerage account and acts as your custodian for funds and securities that are deposited with NFS by you or your broker-dealer. In addition to your initial contact with your broker-dealer you may contact NFS at (800) 801-9942. Any oral communications regarding inaccuracies or discrepancies should be confirmed in writing to protect your rights, including those under the Securities Investor Protection Act ("SIPA"), when contacting either your broker-dealer or NFS, remember to include your entire brokerage account number to ensure a prompt reply.

ADDITIONAL INFORMATION Free credit balances ("FCB") are funds payable to you on demand. FCB are subject to open commitments such as uncleared checks and exclude proceeds from sales of certificated securities without delivery of the certificate. If your FCB is swept to a core position, you can liquidate the core position and have the proceeds sent to you or held in your account subject to the terms of your account agreement. Required rule 10b-10(a) information not contained herein will be provided on written request. Fidelity may use this free credit balance in connection with its business, subject to applicable law.

Redemption Adjustment Program. Accountholders receiving payments in lieu of qualified dividends may not be eligible to receive credit adjustments intended to help cover additional associated federal tax burdens. NFS reserves the right to deny the adjustment to any account holder and to amend or terminate the credit adjustment program.

Options Customers. Each transaction confirmation previously delivered to you contains full information about commissions and other charges. If you require further information, please contact your broker-dealer. Assignments of American and European-style options are allocated among customer short positions pursuant to random allocation procedure, a description of which is available upon request. Short positions in American-style options are liable for assignment at any time. The writer of a European-style option is subject to exercise assignment only during the exercise period. You should advise your broker-dealer promptly of any material change in your investment objectives or financial situation. **Splits, Dividends, and Interest.** Expected stock split, next dividend payable, and next interest payable information has been provided by third parties and may be subject to change. Information for certain securities may be missing if not received from third parties in time for printing. NFS is not responsible for inaccurate, incomplete, or missing information. Please consult your broker-dealer for more information about expected stock split, next dividend payable, and next interest payable for certain securities.

Equity Dividend Reinvestment Customers. Shares credited to your brokerage account resulted from transactions effected as agent by either: 1) Your broker-dealer for your investment account, or 2) through the Depository Trust Company (DTC) dividend reinvestment program. For broker-dealer effected transactions, the me of the transactions, the exchange upon which these transactions occurred and the name of the person from whom the security was purchased will be furnished upon written request. NFS may have acted as market maker in reflecting trades in "over-the-counter" securities.

Retirement Contributions/Distributions. A summary of retirement contributions/distributions is displayed for you in the activity summary section of your statement. **Income Reporting.** NFS reports earnings from investments in Traditional IRAs, Rollover IRAs, SEP-IRAs and Keoghs as tax-deferred income. Earnings from both IRAs are reported as tax-free income, since distributions may be tax-free after meeting the 5 year aging requirement and certain other conditions. A financial statement of NFS is available for your personal inspection at its office or a copy of it will be mailed to you upon your written request.

Statement Mailing. NFS will deliver statements by mail or, if applicable, notify you by e-mail of your statement's availability, if you had transactions that affected your cash balances or security positions held in your account(s) during the last monthly reporting period. At a minimum, all brokerage customers will receive quarterly statements at least four times per calendar year as long as their accounts contain a cash or securities balance.

Loads and Fees. In connection with (i) access to, purchase or redemption of, and/or maintenance of positions in mutual funds and other investment products ("funds") or (ii) infrastructure needed to support such funds, some funds, or their investment affiliates, pay your introducing broker dealer and/or NFS sales loads and 12b-1 fees

Contact \$44,384,4460 Client Login



Sears Holdings Corporation (18-23538)

[CHANGE CASE](#)

[Case Info](#) [Docket](#) [Claims](#) [Submit a Claim](#) [Submit Inquiry](#)

[Search Docket](#) [Search Claim](#)

Schedule	Claim #	Filed Date	Creditor Name	Debtor Name	Claim Value
	17484	04/10/2019	Dickman, Frances R	Sears Holdings Corporation	\$ 115,000.00

Select scope

Claim Number(s)(e.g. 1,3,5-7)

Schedule Number

Creditor name

Debtor(s)

Select Classification

Select Search Operator

Amount

Date from

Date to

-

[Search Claim](#)

[Reset](#)

Creditor Data Details for Claim # 17484

Creditor
Dickman, Frances R

Date Filed
04/10/2019

Debtor Name
Sears Holdings Corporation
Schedule Number

Claim Number
17484
Proof of Claim
[View PDF](#) [Email PDF](#)

Schedule	Amount CUD*	Asserted Claim Amount CUF*	Current Claim Status
General Unsecured			
Priority			
Secured		\$115,000.00	\$115,000.00 Asserted
503(b)(9) Admin Priority			
Admin Priority			
Total	\$0.00	\$115,000.00	\$115,000.00

*C=Contingent, U=Unliquidated, D=Disputed, F=Foreign

Prime Clerk maintains this website for the public's convenience and for general informational purposes only. Anyone using this website is cautioned NOT to rely on any information contained on this Website, and any user of this website should not take or refrain from taking any action based upon anything included or not included on this website. We are not a law firm or a substitute for

[Open in new window](#)

Page 1 of 1

20

View 1 - 1 of 1

[Home](#) [Leadership](#) [Disclaimer](#) [Terms & Conditions](#)

©2016 Prime Clerk. All rights reserved.

Contact 844.384.4450 Client Login



Sears Holdings Corporation (18-23538)

[CHANGE CASE](#)

[Case Info](#) [Docket](#) [Claims](#) [Submit a Claim](#) [Submit Inquiry](#)

[Search Docket](#) [Search Claim](#)

Schedule	Claim #	Filed Date	Creditor Name	Debtor Name	Claim Value
	17484	04/10/2019	Dickman, Frances R	Sears Holdings Corporation	\$ 115,000.00

Select scope

Claim Number(s)(e.g. 1,3,5-7)

Schedule Number

Creditor name

Debtor(s)

Select Classification

Select Search Operator

Amount

Date from

Date to

[Search Claim](#)

[Reset](#)

Creditor Data Details for Claim # 17484

Creditor
Dickman, Frances R

Date Filed
04/10/2019

Debtor Name
Sears Holdings Corporation
Schedule Number

Claim Number
17484

Proof of Claim
☐ View PDF ☐ Email PDF

	Schedule Amount C*U*D*	Asserted Claim Amount C*U*F*	Current Claim Status
General Unsecured		\$115,000.00	\$115,000.00 Asserted
Priority			
Secured			
503(b)(9) Admin Priority			
Admin Priority			
Total	\$0.00	\$115,000.00	\$115,000.00

*C=Contingent, U=Unliquidated, D=Disputed, F=Foreign

Prime Clerk maintains this website for the public's convenience and for general informational purposes only. Anyone using this website is cautioned NOT to rely on any information contained on this website, and any user of this website should not take or refrain from taking any action based upon anything included or not included on this website. We are not a law firm or a substitute for

[Open in new window](#)

Page 1 of 1

20

View 1 of 1

[Home](#) [Leadership](#) [Disclaimer](#) [Terms & Conditions](#)

©2016 Prime Clerk. All rights reserved.

Fill in this information to identify the case (Select only one Debtor per claim form):

<input checked="" type="checkbox"/> Sears Holdings Corporation (18-23538)	<input type="checkbox"/> Kmart Corporation (18-23549)	<input type="checkbox"/> Sears, Roebuck de Puerto Rico, Inc. (18-23561)	<input type="checkbox"/> MyGofer LLC (18-23573)	<input type="checkbox"/> Kmart.com LLC (18-23585)
<input type="checkbox"/> Sears, Roebuck and Co. (18-23537)	<input type="checkbox"/> MaxServ, Inc. (18-23550)	<input type="checkbox"/> SYW Relay LLC (18-23562)	<input type="checkbox"/> Sears Brands Business Unit Corporation (18-23574)	<input type="checkbox"/> Sears Brands Management Corporation (18-23586)
<input type="checkbox"/> Kmart Holding Corporation (18-23539)	<input type="checkbox"/> Private Brands, Ltd. (18-23551)	<input type="checkbox"/> Wally Labs LLC (18-23563)	<input type="checkbox"/> Sears Holdings Publishing Company, LLC (18-23575)	<input type="checkbox"/> SHC Licensed Business LLC (18-23616)
<input type="checkbox"/> Kmart Operations LLC (18-23540)	<input type="checkbox"/> Sears Development Co. (18-23552)	<input type="checkbox"/> Big Beaver of Florida Development, LLC (18-23564)	<input type="checkbox"/> Kmart of Michigan, Inc. (18-23576)	<input type="checkbox"/> SHC Promotions LLC (18-23630)
<input type="checkbox"/> Sears Operations LLC (18-23541)	<input type="checkbox"/> Sears Holdings Management Corporation (18-23553)	<input type="checkbox"/> California Builder Appliances, Inc. (18-23565)	<input type="checkbox"/> SHC Desert Springs, LLC (18-23577)	<input type="checkbox"/> SRe Holding Corporation (19-22301)
<input type="checkbox"/> ServiceLive, Inc. (18-23542)	<input type="checkbox"/> Sears Home & Business Franchises, Inc. (18-23554)	<input type="checkbox"/> Florida Builder Appliances, Inc. (18-23566)	<input type="checkbox"/> SOE, Inc. (18-23578)	
<input type="checkbox"/> A&E Factory Service, LLC (18-23543)	<input type="checkbox"/> Sears Home Improvement Products, Inc. (18-23555)	<input type="checkbox"/> KBL Holding Inc. (18-23567)	<input type="checkbox"/> StarWest, LLC (18-23579)	
<input type="checkbox"/> A&E Home Delivery, LLC (18-23544)	<input type="checkbox"/> Sears Insurance Services, L.L.C. (18-23556)	<input type="checkbox"/> KLC, Inc. (18-23568)	<input type="checkbox"/> STI Merchandising, Inc. (18-23580)	
<input type="checkbox"/> A&E Lawn & Garden, LLC (18-23545)	<input type="checkbox"/> Sears Procurement Services, Inc. (18-23557)	<input type="checkbox"/> Sears Protection Company (Florida), L.L.C. (18-23569)	<input type="checkbox"/> Troy Coolidge No. 13, LLC (18-23581)	
<input type="checkbox"/> A&E Signature Service, LLC (18-23546)	<input type="checkbox"/> Sears Protection Company (18-23558)	<input type="checkbox"/> Kmart of Washington LLC (18-23570)	<input type="checkbox"/> BlueLight.com, Inc. (18-23582)	
<input type="checkbox"/> FBA Holdings Inc. (18-23547)	<input type="checkbox"/> Sears Protection Company (PR) Inc. (18-23559)	<input type="checkbox"/> Kmart Stores of Illinois LLC (18-23571)	<input type="checkbox"/> Sears Brands, L.L.C. (18-23583)	
<input type="checkbox"/> Innovel Solutions, Inc. (18-23548)	<input type="checkbox"/> Sears Roebuck Acceptance Corp. (18-23560)	<input type="checkbox"/> Kmart Stores of Texas LLC (18-23572)	<input type="checkbox"/> Sears Buying Services, Inc. (18-23584)	

Proof of Claim

04/16

Read the instructions before filling out this form. This form is for making a claim for payment in a bankruptcy case. Do not use this form to make a request for payment of an administrative expense, other than a claim entitled to administrative priority pursuant to 11 U.S.C. § 503(b)(9). Make such a request according to 11 U.S.C. § 503.

Filers must leave out or redact information that is entitled to privacy on this form or on any attached documents. Attach redacted copies of any documents that support the claim, such as promissory notes, purchase orders, invoices, itemized statements of running accounts, contracts, judgments, mortgages, and security agreements. Do not send original documents; they may be destroyed after scanning. If the documents are not available, explain in an attachment.

A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

Fill in all the information about the claim as of the date the case was filed. That date is on the notice of bankruptcy (Form 309) that you received.

Part 1: Identify the Claim

1. Who is the current creditor?	FRANCES R DICKMAN Name of the current creditor (the person or entity to be paid for this claim) Other names the creditor used with the debtor _____	
2. Has this claim been acquired from someone else?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. From whom? _____	
3. Where should notices and payments to the creditor be sent? Federal Rule of Bankruptcy Procedure (FRBP) 2002(g)	Where should notices to the creditor be sent? 7 JUDITH DRIVE GREENLAWN, NY 11740 Contact phone <u>631-651-8687</u> Contact email _____	Where should payments to the creditor be sent? (if different) NATIONAL FINANCIAL SERVICES C/O ROYAL ALLIANCE 10 EXCHANGE PLAZA SUITE 1410 JERSEY CITY, NJ 07302 RQV-003690 Contact phone <u>631-353-0003</u> Contact email <u>sfitzgerald@steelridgeadvisors.com</u>
4. Does this claim amend one already filed?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. Claim number on court claims registry (if known) _____ Filed on _____ MM / DD / YYYY	
5. Do you know if anyone else has filed a proof of claim for this claim?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. Who made the earlier filing? _____	

Part 2: Give Information About the Claim as of the Date the Case Was Filed

6. Do you have any number you use to identify the debtor? ☐ No ☒ Yes. Last 4 digits of the debtor's account or any number you use to identify the debtor: 8 9 4 4

7. How much is the claim? \$ 115,000.00 Does this amount include interest or other charges?
☒ No
☐ Yes. Attach statement itemizing interest, fees, expenses, or other charges required by Bankruptcy Rule 3001(c)(2)(A).

8. What is the basis of the claim? Examples: Goods sold, money loaned, lease, services performed, personal injury or wrongful death, or creditcard.
Attach redacted copies of any documents supporting the claim required by Bankruptcy Rule 3001(c).
Limit disclosing information that is entitled to privacy, such as health care information.

9. Is all or part of the claim secured? ☐ No ☒ Yes. The claim is secured by a lien on property.
Nature of property:
☐ Real estate. If the claim is secured by the debtor's principal residence, file a *Mortgage Proof of Claim Attachment* (Official Form 410-A) with this *Proof of Claim*.
☐ Motor vehicle
☒ Other. Describe: SEARS HLDGS CORP. 6 5/8% SENIOR SECURED NOTE Due 10/15/18
Basis for perfection: _____
Attach redacted copies of documents, if any, that show evidence of perfection of a security interest (for example, a mortgage, lien, certificate of title, financing statement, or other document that shows the lien has been filed or recorded.)
Value of property: \$ _____
Amount of the claim that is secured: \$ _____
Amount of the claim that is unsecured: \$ _____ (The sum of the secured and unsecured amounts should match the amount in line 7.)
Amount necessary to cure any default as of the date of the petition: \$ _____
Annual Interest Rate (when case was filed) _____ %
☐ Fixed
☐ Variable

10. Is this claim based on a lease? ☒ No ☐ Yes. Amount necessary to cure any default as of the date of the petition. \$ _____

11. Is this claim subject to a right of setoff? ☒ No ☐ Yes. Identify the property: _____

12. Is all or part of the claim entitled to priority under 11 U.S.C. § 507(a)? ☒ No

A claim may be partly priority and partly nonpriority. For example, in some categories, the law limits the amount entitled to priority.

☐ Yes. Check one:

<input type="checkbox"/> Domestic support obligations (including alimony and child support) under 11 U.S.C. § 507(a)(1)(A) or (a)(1)(B).	Amount entitled to priority \$ _____
<input type="checkbox"/> Up to \$2,850* of deposits toward purchase, lease, or rental of property or services for personal, family, or household use. 11 U.S.C. § 507(a)(7).	\$ _____
<input type="checkbox"/> Wages, salaries, or commissions (up to \$12,850*) earned within 180 days before the bankruptcy petition is filed or the debtor's business ends, whichever is earlier. 11 U.S.C. § 507(a)(4).	\$ _____
<input type="checkbox"/> Taxes or penalties owed to governmental units. 11 U.S.C. § 507(a)(8).	\$ _____
<input type="checkbox"/> Contributions to an employee benefit plan. 11 U.S.C. § 507(a)(5).	\$ _____
<input type="checkbox"/> Other. Specify subsection of 11 U.S.C. § 507(a)() that applies.	\$ _____

* Amounts are subject to adjustment on 4/01/19 and every 3 years after that for cases begun on or after the date of adjustment.

13. Is all or part of the claim entitled to administrative priority pursuant to 11 U.S.C. § 503(b)(9)? ☒ No

☐ Yes. Indicate the amount of your claim arising from the value of any goods received by the Debtor within 20 days before the date of commencement of the above case, in which the goods have been sold to the Debtor in the ordinary course of such Debtor's business. Attach documentation supporting such claim. \$ _____

Part 3: Sign Below

The person completing this proof of claim must sign and date it. FRBP 9011(b).

If you file this claim electronically, FRBP 5005(a)(2) authorizes courts to establish local rules specifying what a signature is.

A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

Check the appropriate box:

- ☐ I am the creditor.
☒ I am the creditor's attorney or authorized agent.
☐ I am the trustee, or the debtor, or their authorized agent. Bankruptcy Rule 3004.
☐ I am a guarantor, surety, endorser, or other codebtor. Bankruptcy Rule 3005.

I understand that an authorized signature on this *Proof of Claim* serves as an acknowledgment that when calculating the amount of the claim, the creditor gave the debtor credit for any payments received toward the debt.

I have examined the information in this *Proof of Claim* and have a reasonable belief that the information is true and correct.

I declare under penalty of perjury that the foregoing is true and correct.

Executed on date 04/09/2019 (mm/dd/yyyy)

Signature

Print the name of the person who is completing and signing this claim:

Name of the person who is completing and signing this claim:

Name SCOTT M FITZGERALD
 First name Middle name Last name

Title PRESIDENT

Company STEEL RIDGE ADVISORS
 Identify the corporate servicer as the company if the authorized agent is a servicer.

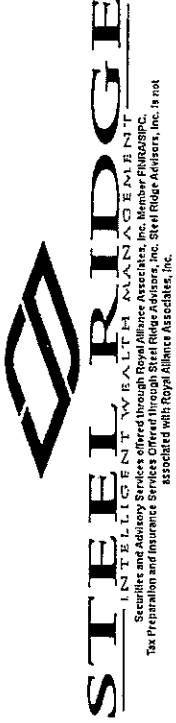
Address 1377 MOTOR PKWY, SUITE 204
 Number Street

ISLANDIA NY 11749
 City State ZIP Code

Contact phone 631-353-0003 Email sfitzgerald@steelridgeadvisors.com

ENV# CEBGWBCPBBDPXL_ BBBB
ROYAL ALLIANCE ASSOCIATES INC.
10 EXCHANGE PLACE, SUITE 1410
JERSEY CITY, NJ 07302

NFS/FMTC IRA
FBO FRANCES R DICKMAN
7 JUDITH DRIVE
GREENLAWN NY 11740

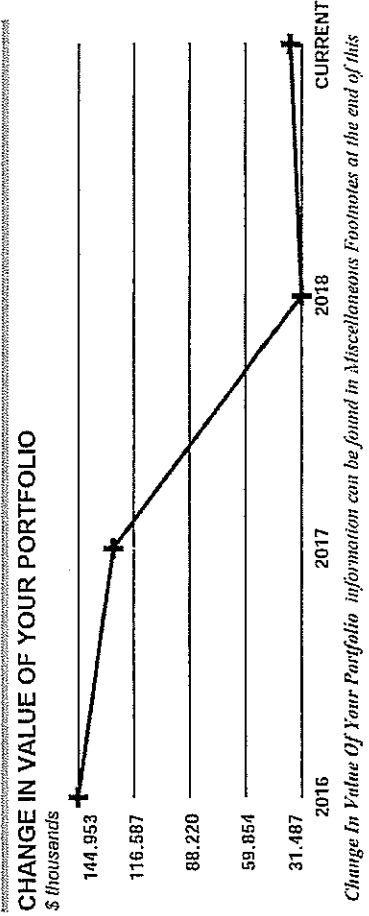


STATEMENT FOR THE PERIOD MARCH 1, 2019 TO MARCH 31, 2019

FRANCES R DICKMAN - Premiere Select IRA
Account Number: RQV-003690

YOUR FINANCIAL ADVISOR IS:
SCOTT FITZGERALD
RR#: AZP
For questions about your accounts:
Local: 631 353 0003
In-State: 631 353 0003
National: 631 353 0003

TOTAL VALUE OF YOUR PORTFOLIO \$37,446.79



Statement for the Period March 1, 2019 to March 31, 2019
FRANCES R DICKMAN - Premiere Select IRA
Account Number: RQV-003690

Account Overview

CHANGE IN ACCOUNT VALUE	Current Period	Year-to-Date
BEGINNING VALUE	\$48,765.04	\$31,487.12
Additions and Withdrawals	\$0.00	\$0.00
Income	\$0.39	\$206.69
Taxes, Fees and Expenses	\$0.00	\$0.00
Change in Value	(\$11,318.64)	\$5,752.98
ENDING VALUE (AS OF 03/31/19)	\$37,446.79	\$37,446.79
Total Pending Accrued Dividends	\$6.60	
Ending Value with Accrued Dividends	\$37,453.39	

Refer to Miscellaneous Footnotes for more information on Change in Value.

Pending dividends and stock distributions reflect projected values only, are subject to change and may not represent the actual amount, if any, that you may receive. This information is provided for informational purposes only and should not be relied on for tax reporting or other purposes.

RETIREMENT CONTRIBUTIONS/DISTRIBUTIONS

CONTRIBUTIONS	Current Period	Year-to-Date
For Current Year 2019	\$0.00	\$0.00
For Prior Year 2018	\$0.00	\$0.00
DISTRIBUTIONS		
For Current Year 2019	\$0.00	\$0.00

REQUIRED MINIMUM DISTRIBUTION (RMD)

2019 RMD for this account	Total This Year
	\$1,431.23

Your RMD amount was calculated using the IRS Uniform Life Expectancy Table. Refer to Miscellaneous Footnotes at the end of this statement for more information.

Royal Alliance Associates, Inc.

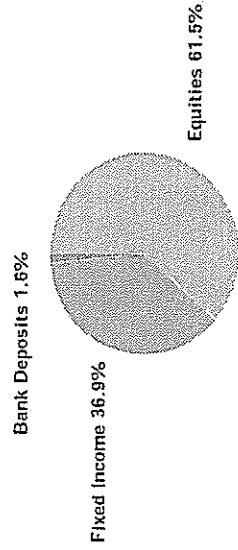
MN_CEBGWBCPBBDPXL_R_BBBBD 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Page 2 of 10



ACCOUNT ALLOCATION



	Percent	Prior Period	Current Period
Money Markets	0.0 %	\$613.54	\$0.00
Bank Deposits	1.6	\$0.00	\$613.93
Equities	61.5	\$22,851.50	\$23,032.86
Fixed Income	36.9	\$25,300.00	\$13,800.00
TOTAL	100.0 %	\$48,765.04	\$37,446.79

Account Allocation shows the percentage that each asset class represents of your total account value. Account Allocation for equities, fixed income, and other categories may include mutual funds and may be net of short positions. NFS has made assumptions concerning how certain mutual funds are allocated. Closed-end mutual funds and Exchange Traded Products (ETPs) listed on an exchange may be included in the equity allocation. The chart may not reflect your actual portfolio allocation. Consult your broker/dealer prior to making investment decisions.

Statement for the Period March 1, 2019 to March 31, 2019
FRANCES R DICKMAN - Premiere Select IRA
Account Number: RQV-003690



Account Overview *continued*

	Current Period	Year-to-Date
INCOME		
Dividends	\$0.33	\$206.63
Interest	\$0.06	\$0.06
TOTAL INCOME	\$0.39	\$206.69

All income is tax deferred until it is distributed from the account.

MESSAGES AND ALERTS

DRS - Direct Registration System Transfer Agent Fee Effective May 1, 2014, three transfer agents, Computershare, Wells Fargo, and Registrar and Transfer Company are implementing a \$15 transfer fee for each position moved into your brokerage account via book entry Direct Registration System - DRS. If the fee is charged by the agent, NFS will pass through the charge to the account. As a reminder, there is already an existing fee charged to accounts for outgoing DRS transfers. Please contact your Financial Advisor if you have any questions regarding this fee.

Beginning in January 2019, National Financial Services will enhance the end-investor statement with the following changes. Payee details will be displayed within Activity Sections Description field for transactions that have associated Payee information. A summary level total of Short Dividends charged will be reported within the Account Overview section. Change in Value of Your Portfolio graph will show minimum and maximum scaling on the Y axis, include Negative values and, use clearest data points for information displayed.

National Financial Services LLC NFS is required by the Securities Exchange Act of 1934 to provide certain financial information from its Statement of Financial Condition. At December 31, 2018, NFS, an affiliate of Fidelity Brokerage Services LLC, had net capital of \$4,012 million, which was 13.67 percent of aggregate debit items and exceeded its minimum requirement by \$3,425 million. To acquire the Statement of Financial Condition, log on to www.mybrokerageinfo.com. If you wish to obtain a copy of this document at no cost, please call 800-439-5627.

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN _CEBQWBCPBBDPXLR_BBBBD 20190329

Statement for the Period March 1, 2019 to March 31, 2019
FRANCES R DICKMAN - Premiere Select IRA
Account Number: RQV-003690



Holdings

For additional information regarding your holdings, please refer to the footnotes at the end of the statement.

CASH AND CASH EQUIVALENTS - 1.64% of Total Account Value

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income
Bank Deposits					
Bank deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). Funds used to purchase or sweep to a bank deposit are SIPC protected until deposited to a Program Bank at which time funds may be eligible for FDIC insurance. Customers are responsible for monitoring their total deposits at each Program Bank to determine the extent of available FDIC insurance. Refer to the Bank Deposit Detail section which appears later in this statement for information on the banks holding your deposits. If your account was established on the last business day of this month, your statement will not include a Bank Deposit Detail section.					
ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED)	QAGCQ CASH	613.93	\$1.00	\$613.93	
Estimated Annual Yield 0.18%					
Total Cash and Cash Equivalents				\$613.93	

HOLDINGS > EQUITIES - 61.51% of Total Account Value

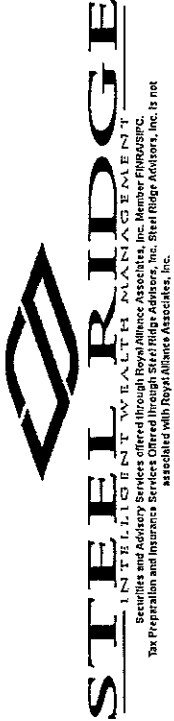
Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income
Equity					
AT&T INC COM USD1	T CASH	174	\$31.36	\$5,456.64	\$354.95
Estimated Yield 6.50%					
Dividend Option Cash					
Capital Gain Option Cash					
GENERAL ELECTRIC CO COM USD0.06	GE CASH	660	\$9.99	\$6,593.40	\$26.40
Estimated Yield 0.40%					
Dividend Option Cash					
Capital Gain Option Cash					
Next Dividend Payable: 04/25/19					
VERIZON COMMUNICATIONS	VZ CASH	182	\$59.13	\$10,761.66	\$438.62
Estimated Yield 4.07%					
Dividend Option Cash					

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member NYSE, SIPC

MN_CEBGWBCPBBDPXLRL_BBRBD 20190329

Statement for the Period March 1, 2019 to March 31, 2019
FRANCES R DICKMAN - Premiere Select IRA
Account Number: RQV-003690



HOLDINGS > EQUITIES *continued*

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income
VERIZON COMMUNICATIONS					
Capital Gain Option Cash	VZ	<i>continued</i>			
Next Dividend Payable: 05/01/19					
WABTEC CORP COM USD0.01	WAB	3	\$73.72	\$221.16	\$1.44
Estimated Yield 0.65%	CASH				
Dividend Option Cash					
Capital Gain Option Cash				\$23,032.86	\$821.42
Total Equity				\$23,032.86	\$821.42

HOLDINGS > FIXED INCOME - 36.85% of Total Account Value

For an explanation of fixed income pricing, please see the last page. Redemption schedule(s), bond rating(s), and other information are provided where available. If information does not appear regarding a particular investment, it is not available. The ratings on this statement are provided by Standard & Poor's and/or Moody's to rate the quality based on the respective rating agency's assessment. Ratings information from Standard & Poor's ("S&P") may not be reproduced. S&P credit ratings are statements of opinion and are not statements of fact or recommendations to purchase, hold, or sell securities, nor do they address the suitability of securities for investment purposes, and should not be relied on as investment advice. S&P does not guarantee the accuracy, completeness, timeliness or availability of any information, including ratings, and is not responsible for errors or omissions (negligent or otherwise). S&P gives no express or implied warranties, including but not limited to any warranties of merchantability or fitness for a particular purpose or use. S&P shall not be liable for any direct, indirect, incidental, exemplary, compensatory, punitive, special or consequential damages, costs, expenses, legal fees, or losses (including lost income or profits and opportunity costs) in connection with any use of ratings.

Description	Symbol/Cusip Account Type	Quantity	Estimated Price on 03/31/19	Estimated Current Market Value	Estimated Annual Income
Corporate Bonds					
SEARS HLDGS CORP NOTE CALL MAKE WHOLE	812350AEG	115,000	\$12.00	\$13,800.00	
6.62500% 10/15/2018	CASH				
MOODY'S WR					
CPN PMT SEMI-ANNUAL					
ON OCT 15, APR 15					
CONTINUOUSLY CALLABLE					
IN MONETARY DEFAULT					
Total Fixed Income		115,000		\$13,800.00	
Total Securities				\$36,832.86	\$821.42
TOTAL PORTFOLIO VALUE				\$37,446.79	\$821.42

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CERGWBPCBBDPXL_R_BBBBD 20190329

Statement for the Period March 1, 2019 to March 31, 2019
FRANCES R DICKMAN - Premiere Select IRA
Account Number: RQV-003690



Activity

PURCHASES, SALES, AND REDEMPTIONS

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
Securities Sold					
03/11/19	CASH	YOU SOLD	FIDELITY GOVT MMKT DAILY MONEY CLASS FZBXX TO QAGCQ	(613.54)	\$613.54
Total Securities Sold					\$613.54

ACTIVITY > CORE FUND ACTIVITY

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
03/11/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) QAGCQ IS LIQUID	613.54	(\$613.54)
03/29/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) @ 1	0.33	(\$0.33)
03/29/19	CASH	REINVESTMENT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) NET INT REINVEST	0.06	(\$0.06)
TOTAL CORE FUND ACTIVITY					(\$613.93)

ACTIVITY > INCOME

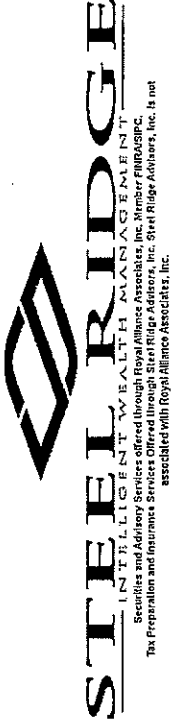
Settlement Date	Account Type	Transaction	Description	Quantity	Amount
Dividends					
03/29/19	CASH	DIVIDEND RECEIVED	FIDELITY GOVT MMKT DAILY MONEY CLASS DIVIDEND RECEIVED		\$0.33
Total Dividends					\$0.33

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member NYSE, SIPC

MN_CEBGWBCPBDDPXLR_BBBD 20190529

Statement for the Period March 1, 2019 to March 31, 2019
FRANCES R DICKMAN - Premiere Select IRA
Account Number: RQV-003690



ACTIVITY > INCOME *continued*

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
Interest					
03/29/19	CASH	INTEREST RECEIVED	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED)		\$0.06
Total Interest					\$0.06
TOTAL INCOME					\$0.39

ACTIVITY > PENDING DISTRIBUTIONS

Pending dividends and stock distributions reflect projected values only, are subject to change and may not represent the actual amount, if any, that you may receive. This information is provided for informational purposes only and should not be relied on for tax reporting or other purposes.

Symbol/Cusip	Security Description	Eligible Quantity	Rate	Payment Amount
Pending Accrued Dividends				
GE	GENERAL ELECTRIC CO COM USD0.06	600	\$0.01	\$6.60
Total Pending Accrued Dividends				\$6.60

ACTIVITY > BANK DEPOSIT DETAIL

Bank deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). Customers are responsible for monitoring their total deposits at each Program Bank to determine the extent of available FDIC insurance. Your Ending Balance at each Program Bank as of the end of this statement period is shown below. If you participate in a Bank Deposit Sweep Program and also hold a Bank Deposit Direct Investment, the Bank Deposit Detail section lists banks and ending balances for both programs. Funds pending settlement reflect deposits to (credit) or withdrawals from (debit) a Program Bank. Subject to the terms of the applicable bank deposit disclosure, customers are reminded that funds are deposited to a Program Bank on the business day following the date that funds are credited to your account and until swept to a Program Bank, funds are covered by SIPC.

Bank	Beginning Balance	Ending Balance
Capital One Bank	\$0.00	\$613.60
Current Month's Pending Settlement		\$0.33
Total Bank Deposits	\$0.00	\$613.93

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEBGWBCPBDDPXLX_BBBDD 20190329

Statement for the Period March 1, 2019 to March 31, 2019
FRANCES R DICKMAN - Premiere Select IRA
Account Number: RQV-003690



Miscellaneous Footnotes

CHANGE IN VALUE OF YOUR PORTFOLIO is the change in market value of your portfolio assets over the time period shown. The portfolio assets include the market value of all the securities in the account, plus insurance and annuity assets if applicable. The time frame of the graph is from account opening or September 2011, whichever is later, to the current period. Please note that large increases and/or declines in the change in the value of the portfolio can be due to additions, distribution and/or performance.

CHANGE IN VALUE reflects appreciation or depreciation of your holdings due to price changes plus any activity not reflected within Additions and Withdrawals, Income, Taxes, Fees and Expenses, and Other Activity sections. Change in Value does not reflect activity related to assets in which NFS is not the custodian (e.g. Insurance and Annuities, Assets Held Away and Other Assets Held Away).

REQUIRED MINIMUM DISTRIBUTION - As required by the Internal Revenue Service (IRS) and noted on your Form 5498, you must take minimum required distributions (RMD) by April 1st of the calendar year following the year in which you turn 70 1/2. Subsequent withdrawals must be completed by December 31st every year thereafter. The RMD Amount for this account was calculated based upon your primary beneficiary information as of January 1st of the current calendar year, your life expectancy factor taken from the IRS Uniform Life Expectancy Table, and the prior year end value of your retirement account. If your beneficiary information changed during the calendar year, your RMD calculation may be impacted. The calculation is based on information submitted to NFS by your broker/dealer. You are responsible for withdrawing RMDs on a timely basis, otherwise tax penalties may apply. You must calculate your RMD separately for each IRA you have at NFS and at any other financial institution. The RMD may be satisfied from this account or any other existing IRAs. If you need additional information or have any questions on how the RMD is calculated, please consult IRS Publication 590 or a tax professional.

CALLABLE SECURITIES LOTTERY - When street name or bearer securities held for you are subject to a partial call or partial redemption by the issuer, NFS may or may not receive an allocation of called/redeemed securities by the issuer, transfer agent and/or depository. If NFS is allocated a portion of the called/redeemed securities, NFS utilizes an impartial lottery allocation system. In accordance with applicable rules, that randomly selects the securities within customer accounts that will be called/redeemed. NFS' allocations are not made on a pro rata basis and it is possible for you to receive a full or partial allocation, or no allocation. You have the right to withdraw uncalled fully paid securities at any time prior to the cutoff date and time established by the issuer, transfer agent and/or depository with respect to the partial call, and also to withdraw excess margin securities provided your account is not subject to restriction under Regulation T or such withdrawal will not cause an undermargined condition.

PRICING INFORMATION - Prices displayed are obtained from sources that may include pricing vendors, broker/dealers who clear through NFS and/or other sources. Prices may not reflect current fair market value and/or may not be readily marketable or redeemable at the prices shown.

FOREIGN EXCHANGE TRANSACTIONS - Some transaction types necessitate a foreign currency exchange (FX) in order to settle. FX transactions may be effected by Fidelity Forex, Inc. on a principal basis. Fidelity Forex, Inc., an affiliate of NFS, may impose a commission or markup on the prevailing interbank market price, which may result in a higher price to you. Fidelity Forex, Inc. may share a portion of any FX commission or markup with NFS. More favorable rates may be available through third parties not affiliated with NFS. The rate applicable to any transaction involving an FX is available upon request through your broker-dealer.

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEBGWBCPBDDPXLR_BBBD 20190329

closely reflect the value at which the security may be sold or purchased based on various market factors. Investment decisions should be made only after consulting your broker-dealer.

Estimated Annual Income (EAI) & Estimated Yield (EY) - EAI for fixed income is calculated using the coupon rate. For all other securities, EAI is calculated using an indicated annual dividend (IAD). The IAD is an estimate of a security's dividend payments for the next 12 months calculated based on prior and/or declared dividends for that security. EY reflects only the income generated by an investment and not changes in its price which may fluctuate. Interest and dividend rates are subject to change at any time and may be affected by current and future economic, political and business conditions. EAI and EY are estimates only and may include return of principal and/or capital gains, which would render them overstated. EAI and EY are provided for informational purposes only and should not be used or relied on for making investment, trading or tax decisions. EAI and EY are based on data obtained from information providers believed to be reliable, but no assurance can be made as to accuracy, timeliness or completeness.

described in the prospectus as well as additional compensation for shareholder services, start-up fees, infrastructure support and maintenance, and other programs. Additional information about the source(s) and amount(s) of compensation as well as other remuneration received by your introducing broker dealer and/or NFS will be furnished to you upon written request. At time of purchase fund shares may be assigned a load, transaction fee or no transaction fee status. At time of sale, any fees applicable to your transaction will be assessed based on the status assigned to the shares at time of purchase. **Margin.** If you have applied for margin privileges and been approved, you may borrow money from NFS in exchange for pledging the assets in your account as collateral for any outstanding margin loan. The amount you may borrow is based on the value of securities in your margin account, which is identified on your statement. If you have a margin account, this is a combined statement of your margin account and special memorandum account other than your non-purpose margin accounts maintained for you under Section 220.5 of Regulation T issued by the Board of Governors of the Federal Reserve Board. The permanent record of the separate account, as required by Regulation T, is available for your inspection upon request. **NYSE and FINRA.** All transactions are subject to the constitution, rules, regulations, customs, usages, rulings and interpretations of the exchange market and its clearing house, if any, where the transactions are executed, and of the New York Stock Exchange (NYSE) and of the Financial Industry Regulatory Authority ("FINRA"). The FINRA requires that we notify you in writing of the availability of an investor brochure that includes information describing FINRA Regulation's BrokerCheck Program ("Program"). To obtain a brochure or more information about the Program or FINRA Regulation, contact the FINRA Regulation BrokerCheck Program Hotline at (800) 289-9999 or access the FINRA's web site at www.finra.org. **FINRA Rule 4311** requires that your broker-dealer and NFS allocate between them certain functions regarding the administration of your brokerage account. The following is a summary of the allocation services performed by your broker-dealer and NFS. A more complete description is available upon request. Your broker-dealer is responsible for: (1) obtaining and verifying brokerage account information and documentation, (2) opening, approving and monitoring your brokerage account, (3) transmitting timely and accurate orders and other instructions to NFS with respect to your brokerage account, (4) determining the suitability of investment recommendations and advice, (5) operating, and supervising your brokerage account and its own activities in compliance with applicable laws and regulations including compliance with margin rules pertaining to your margin account, if applicable, and (6) maintaining required books and records for the services that it performs. NFS shall, at the direction of your broker-dealer: (1) execute, clear and settle transactions processed through NFS by your broker-dealer, (2) prepare and send transaction confirmations and periodic statements of your brokerage account (unless your broker-dealer has undertaken to do so). Certain securities pricing and descriptive information may be provided by your broker-dealer or obtained from third parties deemed to be reliable, however, this information has not been verified by NFS. (3) act as custodian for funds and securities received by NFS on your behalf, (4) follow the instructions of your broker-dealer with respect to transactions and the receipt and delivery of funds and securities for your brokerage account, and (5) extend margin credit for purchasing or carrying securities on margin. Your broker-dealer is responsible for ensuring that your brokerage account is in compliance with federal, industry and NFS margin rules, and for advising you of margin requirements. NFS shall maintain the required books and records for the services it performs. Securities in accounts carried by NFS are protected in accordance with the Securities Investor Protection Corporation ("SIPC") up to \$500,000. The \$500,000 total amount of SIPC protection is inclusive of up to \$250,000 protection for claims for cash, subject to periodic adjustments for inflation in accordance with terms of the SIPC statute and approval by SIPC's Board of Directors. NFS also has arranged for coverage above these limits. Neither coverage protects against a decline in the market value of securities, nor does either coverage extend to certain securities that are considered ineligible for coverage. For more details on SIPC, or to request a SIPC brochure, visit www.sipc.org or call 1-202-371-8300. Funds used to purchase or sweep to a bank deposit are SIPC protected until deposited to a Program Bank at which time funds may be eligible for FDIC insurance. Assels Held Away, commodities, unregistered investment contracts, futures accounts, loaned securities and other investments may not be covered. Precious metals are not covered by SIPC protection. Mutual funds and/or other securities are not backed or guaranteed by any bank, nor are they insured by the FDIC and involve investment risk including possible loss of principal.

End of Statement

722239.7.0

Account carried with National Financial Services LLC, Member
NYSE, SIPC

DISCLOSURE OF ACCOUNT BALANCES-If you have sold securities under the short sale rule, we have, in accordance with regulations, segregated the proceeds from such transactions in your Short Account. Any net increase or decrease from the original sale price will be marked to the market and will be transferred to your Margin Account on a weekly basis. **Market Value** - The Total Market Value has been calculated out to decimal places, however, the individual unit price is displayed in 5 decimal places. The Total Market Value represents prices obtained from various sources, may be impacted by the frequency in which such prices are sorted and such prices are not guaranteed. Prices received from pricing vendors use a variety of techniques and market quotes, but when such quotes are not available the pricing vendors use a variety of techniques to estimate value. These estimates, particularly for fixed income securities, may be based on certain minimum principal amounts (e.g. \$1 million) and may not reflect all of the factors that affect the value of the security, including liquidity risk. The prices provided are not firm bids or offers. Certain securities may reflect "A" or "unavailable" where the price for such security is generally not available from a pricing source. The market value of a security, including those priced at par value, may differ from its purchase price and may not

CUSTOMER SERVICE: Please review your statement and report any inaccuracy or discrepancy immediately by calling the telephone number of your broker-dealer reflected on the front of this statement. Reports of inaccuracy or discrepancy regarding your brokerage account or the activity therein should be directed to your broker-dealer at the telephone number and address reflected on the front of this statement and National Financial Services LLC ("NFS").

S: carries your brokerage account and acts as your custodian for funds and securities that are deposited with S by you or your broker-dealer. In addition to your initial contact with your broker-dealer you may contact NFS at (800) 801-9942. Any oral communications regarding inaccuracies or discrepancies should be confirmed in writing to protect your rights, including those under the Securities Investor Protection Act ("SIPA"), when contacting either your broker-dealer or NFS, remember to include your entire brokerage account number to ensure a prompt reply.

ADDITIONAL INFORMATION Free credit balances ("FCB") are funds payable to you on demand. FCB are subject to open commitments such as uncleared checks and exclude proceeds from sales of certificated securities without delivery of the certificate. If your FCB is swept to a core position, you can liquidate the core position and have the proceeds sent to you or held in your account, subject to the terms of your account agreement. Required rule 10b-10(a) information not contained herein will be provided on written request. Fidelity uses this free credit balance in connection with its business, subject to applicable law.

Credit Adjustment Program. Accountholders receiving payments in lieu of qualified dividends may not be eligible to receive credit adjustments intended to help cover additional associated federal tax burdens. NFS serves the right to deny the adjustment to any accountholder and to amend or terminate the credit adjustment program.

Options Customers. Each transaction confirmation previously delivered to you contains full information about transactions and other charges. If you require further information, please contact your broker-dealer. Assignments of American and European-style options are allocated among customer short positions pursuant to random allocation procedure, a description of which is available upon request. Short positions in American-style options are liable for assignment at any time. The writer of a European-style option is subject to exercise assignment only during the exercise period. You should advise your broker-dealer promptly of any material change in your investment objectives or financial situation. **Splits, Dividends, and Interest.** Expected stock split, next dividend payable, and next interest payable information has been provided by third parties in the form of printing. NFS is not responsible for inaccurate, incomplete, or missing information. Please consult your broker-dealer for more information about expected stock split, next dividend payable, and next interest payable for certain securities.

Dividend Reinvestment Customers. Shares credited to your brokerage account resulted from transactions effected as agent by either: 1) Your broker-dealer for your investment account, or 2) through the Depository Trust Company (DTC) dividend reinvestment program. For broker-dealer effected transactions, the name of the transactions, the exchange upon which these transactions occurred and the name of the person from whom the security was purchased will be furnished upon written request. NFS may have acted as market maker effecting trades in "over-the-counter" securities.

Retirement Contributions/Distributions. A summary of retirement contributions/distributions is displayed for you in the activity summary section of your statement. **Income Reporting.** NFS reports earnings from investments in Traditional IRAs, Rollover IRAs, SEP-IRAs and, Keoghs as tax-deferred income. Earnings from IRAs are reported as tax-free income, since distributions may be tax-free after meeting the 5 year aging requirement and certain other conditions. A financial statement of NFS is available for your personal inspection at its office or a copy of it will be mailed to you upon your written request.

Statement Mailing. NFS will deliver statements by mail or, if applicable, notify you by e-mail of your statement's availability, if you had transactions that affected your cash balances or security positions held in your account(s) during the last monthly reporting period. At a minimum, all brokerage customers will receive quarterly statements (at least four times per calendar year) as long as their accounts contain a cash or securities balance.

Fees and Fees. In connection with (i) access to, purchase or redemption of, and/or maintenance of positions in mutual funds and other investment products ("funds") or (ii) infrastructure needed to support such funds, some fees, or their investment affiliates, pay your introducing broker dealer and/or NFS sales loads and 12b-1 fees

Royal Alliance Associates, Inc.

MN_CEBGWBCPBDPXLRR_BRRBD 20190329

This page is left intentionally blank

UNITED STATES BANKRUPTCY COURT
SOUTHERN DISTRICT OF NEW YORK

X
:
:
In Re : Chapter 11
Case No. 18-23538 (RDD)

SEARS HOLDING CORPORATION, et al.,

Debtors

(Jointly Administered)

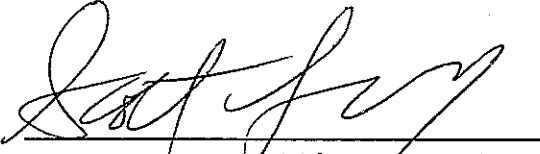
X

Response to objection by Sears Holding to Proofs of Claims (Reclassifying Claims)

Claim # 17309/USD 106,000.

JOSEPH LEGGIO/COLLEN LEGGIO
2503 Natta Blvd.
Bellmore, NY 11710

Please do not allow Sears Corporation to (i)reclassify to general unsecured claims,
as I own second lien PIK notes and purchased these specifically based they were
secured bonds.



Scott M. Fitzgerald/Authorized Agent

11/5/2021

President
Steel Ridge Advisors
1377 Motor Pkwy, Suite 204
Islandia, NY 11749
sfitzgerald@steelridgeadvisors.com
(631) 353-0003



Sears Holdings Corporation (18-23538)

Contact 844.384.4460

Client Login

Case Info Docket Claims Submit a Claim Submit Inquiry

[CHANGE CASE](#)

Search Docket

Search Claim

Q Enter number or name

Schedule	Claim #	Filed Date	Creditor Name	Debtor Name	Claim value
	17309	04/10/2019	LEGGIO, JOSEPH/COLLEEN	Sears Holdings Corporation	\$ 100,000.00

Select scope

Claims Only

Claim Number(s) (e.g. 1,3,5-7)

17309

Schedule Number

Creditor name

Debtor(s)

Sears Holdings Corporation(18-23538)

Select Classification

Select an Option

Select Search Operator

Select an Option

Amount

Date from

Date to

Search Claim

[Reset](#)

Creditor Data Details for Claim # 17309

Creditor
LEGGIO, JOSEPH/COLLEEN

Date Filed
04/10/2019

Debtor Name
Sears Holdings Corporation
Schedule Number

Claim Number
17309

Proof of Claim
[View PDF](#) [Email PDF](#)

	Schedule Amount CUD*	Asserted Claim Amount CUF*	Current Claim Status Claim Value
General Unsecured			
Priority			
Secured			
503(b)(9) Admin Priority		\$100,000.00	\$100,000.00 Asserted
Admin Priority			
Total	\$0.00	\$100,000.00	\$100,000.00

*C=Contingent, U=Unliquidated, D=Disputed, F=Foreign

Prime Clerk maintains this website for the public's convenience and for general informational purposes only. Anyone using this website is cautioned NOT to rely on any information contained on this Website, and any user of this website should not take or refrain from taking any action based upon anything included or not included on this website. We are not a law firm or a substitute for

Open in new window

Page 1 of 1

20

View 1 - 1 of 1

[Home](#) [Leadership](#) [Disclaimer](#) [Terms & Conditions](#)

©2016 Prime Clerk. All rights reserved.



Sears Holdings Corporation (18-23538)

Contact 844.384.4460

Client Login

[Case Info](#) [Docket](#) [Claims](#) [Submit a Claim](#) [Submit Inquiry](#)[Search Docket](#) [Search Claim](#)

Schedule	Claim #	Filed Date	Creditor Name	Debtor Name	Claim Value
	17309	04/10/2019	LEGGIO, JOSPEH/COLLEEN	Sears Holdings Corporation	\$ 100,000.00

Select scope

Claim Number(s) (e.g. 1,3,5-7)

Schedule Number

Creditor name

Debtor(s)

Select Classification

Select Search Operator

Amount

Date from

Date to

-

[Search Claim](#)[Reset](#)

Creditor Data Details for Claim # 17309

Creditor
LEGGIO, JOSPEH/COLLEENDate Filed
04/10/2019Debtor Name
Sears Holdings CorporationClaim Number
17309

Schedule Number

Proof of Claim
☐ View PDF ☐ Email PDF

	Schedule Amount CUD*	Asserted Claim Amount CUF*	Current Claim Status
General Unsecured		\$100,000.00	\$100,000.00 Asserted
Priority			
Secured			
503(b)(9) Admin Priority			
Admin Priority			
Total	\$0.00	\$100,000.00	\$100,000.00

*C=Contingent, U=Unliquidated, D=Disputed, F=Foreign

Prime Clerk maintains this website for the public's convenience and for general informational purposes only. Anyone using this website is cautioned NOT to rely on any information contained on this website, and any user of this website should not take or refrain from taking any action based upon anything included or not included on this website. We are not a law firm or a substitute for

[Open in new window](#)

Page 1 of 1

20

View 1 of 1

UNITED STATES BANKRUPTCY COURT FOR THE SOUTHERN DISTRICT OF NEW YORK

Fill in this information to identify the case (Select only one Debtor per claim form):

<input checked="" type="checkbox"/> Sears Holdings Corporation (18-23538)	<input type="checkbox"/> Kmart Corporation (18-23549)	<input type="checkbox"/> Sears, Roebuck de Puerto Rico, Inc. (18-23561)	<input type="checkbox"/> MyGofer LLC (18-23573)	<input type="checkbox"/> Kmart.com LLC (18-23585)
<input type="checkbox"/> Sears, Roebuck and Co. (18-23537)	<input type="checkbox"/> MaxServ, Inc. (18-23550)	<input type="checkbox"/> SYW Relay LLC (18-23562)	<input type="checkbox"/> Sears Brands Business Unit Corporation (18-23574)	<input type="checkbox"/> Sears Brands Management Corporation (18-23586)
<input type="checkbox"/> Kmart Holding Corporation (18-23539)	<input type="checkbox"/> Private Brands, Ltd. (18-23551)	<input type="checkbox"/> Wally Labs LLC (18-23563)	<input type="checkbox"/> Sears Holdings Publishing Company, LLC (18-23575)	<input type="checkbox"/> SHC Licensed Business LLC (18-23616)
<input type="checkbox"/> Kmart Operations LLC (18-23540)	<input type="checkbox"/> Sears Development Co. (18-23552)	<input type="checkbox"/> Big Beaver of Florida Development, LLC (18-23564)	<input type="checkbox"/> Kmart of Michigan, Inc. (18-23576)	<input type="checkbox"/> SHC Promotions LLC (18-23630)
<input type="checkbox"/> Sears Operations LLC (18-23541)	<input type="checkbox"/> Sears Holdings Management Corporation (18-23553)	<input type="checkbox"/> California Builder Appliances, Inc. (18-23565)	<input type="checkbox"/> SHC Desert Springs, LLC (18-23577)	<input type="checkbox"/> SRe Holding Corporation (19-22301)
<input type="checkbox"/> ServiceLive, Inc. (18-23542)	<input type="checkbox"/> Sears Home & Business Franchises, Inc. (18-23554)	<input type="checkbox"/> Florida Builder Appliances, Inc. (18-23566)	<input type="checkbox"/> SOE, Inc. (18-23578)	
<input type="checkbox"/> A&E Factory Service, LLC (18-23543)	<input type="checkbox"/> Sears Home Improvement Products, Inc. (18-23555)	<input type="checkbox"/> KBL Holding Inc. (18-23567)	<input type="checkbox"/> StarWest, LLC (18-23579)	
<input type="checkbox"/> A&E Home Delivery, LLC (18-23544)	<input type="checkbox"/> Sears Insurance Services, L.L.C. (18-23556)	<input type="checkbox"/> KLC, Inc. (18-23568)	<input type="checkbox"/> STI Merchandising, Inc. (18-23580)	
<input type="checkbox"/> A&E Lawn & Garden, LLC (18-23545)	<input type="checkbox"/> Sears Procurement Services, Inc. (18-23557)	<input type="checkbox"/> Sears Protection Company (Florida), L.L.C. (18-23569)	<input type="checkbox"/> Troy Coolidge No. 13, LLC (18-23581)	
<input type="checkbox"/> A&E Signature Service, LLC (18-23546)	<input type="checkbox"/> Sears Protection Company (18-23558)	<input type="checkbox"/> Kmart of Washington LLC (18-23570)	<input type="checkbox"/> BlueLight.com, Inc. (18-23582)	
<input type="checkbox"/> FBA Holdings Inc. (18-23547)	<input type="checkbox"/> Sears Protection Company (PR) Inc. (18-23559)	<input type="checkbox"/> Kmart Stores of Illinois LLC (18-23571)	<input type="checkbox"/> Sears Brands, L.L.C. (18-23583)	
<input type="checkbox"/> Innoval Solutions, Inc. (18-23548)	<input type="checkbox"/> Sears Roebuck Acceptance Corp. (18-23560)	<input type="checkbox"/> Kmart Stores of Texas LLC (18-23572)	<input type="checkbox"/> Sears Buying Services, Inc. (18-23584)	

Proof of Claim

04/16

Read the instructions before filling out this form. This form is for making a claim for payment in a bankruptcy case. Do not use this form to make a request for payment of an administrative expense, other than a claim entitled to administrative priority pursuant to 11 U.S.C. § 503(b)(9). Make such a request according to 11 U.S.C. § 503.

Filers must leave out or redact information that is entitled to privacy on this form or on any attached documents. Attach redacted copies of any documents that support the claim, such as promissory notes, purchase orders, invoices, itemized statements of running accounts, contracts, judgments, mortgages, and security agreements. Do not send original documents; they may be destroyed after scanning. If the documents are not available, explain in an attachment.

A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

Fill in all the information about the claim as of the date the case was filed. That date is on the notice of bankruptcy (Form 309) that you received.

Part 1: Identify the Claim

1. Who is the current creditor?	JOSEPH LEGGIO/COLLEEN LEGGIO Name of the current creditor (the person or entity to be paid for this claim) Other names the creditor used with the debtor _____	
2. Has this claim been acquired from someone else?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. From whom? _____	
3. Where should notices and payments to the creditor be sent? Federal Rule of Bankruptcy Procedure (FRBP) 2002(g)	Where should notices to the creditor be sent? 2503 NATTA BLVD BELLMORE, NY 11710 Contact phone <u>917-880-7785</u> Contact email <u>jsleggio@optonline.net</u>	Where should payments to the creditor be sent? (if different) NATIONAL FINANCIAL SERVICES C/O ROYAL ALLIANCE 10 EXCHANGE PLAZA SUITE 1410 JERSEY CITY, NJ 07302 RQV-003761 Contact phone <u>631-353-0003</u> Contact email <u>sfitzgerald@steelridgeadvisors.com</u>
4. Does this claim amend one already filed?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. Claim number on court claims registry (if known) _____ Filed on _____ MM / DD / YYYY	
5. Do you know if anyone else has filed a proof of claim for this claim?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. Who made the earlier filing? _____	

Part 2: Give Information About the Claim as of the Date the Case Was Filed

6. Do you have any number you use to identify the debtor? ☐ No ☒ Yes. Last 4 digits of the debtor's account or any number you use to identify the debtor: 3 9 6 3

7. How much is the claim? \$ 100,000.00 Does this amount include interest or other charges? ☒ No ☐ Yes. Attach statement itemizing interest, fees, expenses, or other charges required by Bankruptcy Rule 3001(c)(2)(A).

8. What is the basis of the claim? Examples: Goods sold, money loaned, lease, services performed, personal injury or wrongful death, or creditcard. Attach redacted copies of any documents supporting the claim required by Bankruptcy Rule 3001(c). Limit disclosing information that is entitled to privacy, such as health care information.

9. Is all or part of the claim secured? ☐ No ☒ Yes. The claim is secured by a lien on property.

Nature of property:

☐ Real estate. If the claim is secured by the debtor's principal residence, file a *Mortgage Proof of Claim Attachment* (Official Form 410-A) with this *Proof of Claim*.

☐ Motor vehicle

☒ Other. Describe: SEARS HLDGS CORP. 6 5/8% SENIOR SECURED NOTE due 10/15/18

Basis for perfection: _____

Attach redacted copies of documents, if any, that show evidence of perfection of a security interest (for example, a mortgage, lien, certificate of title, financing statement, or other document that shows the lien has been filed or recorded.)

Value of property: \$ _____

Amount of the claim that is secured: \$ _____

Amount of the claim that is unsecured: \$ _____ (The sum of the secured and unsecured amounts should match the amount in line 7.)

Amount necessary to cure any default as of the date of the petition: \$ _____

Annual Interest Rate (when case was filed) _____ %

☐ Fixed

☐ Variable

10. Is this claim based on a lease? ☒ No ☐ Yes. Amount necessary to cure any default as of the date of the petition. \$ _____

11. Is this claim subject to a right of setoff? ☒ No ☐ Yes. Identify the property: _____

12. Is all or part of the claim entitled to priority under 11 U.S.C. § 507(a)? ☒ No
☐ Yes. Check one:

A claim may be partly priority and partly nonpriority. For example, in some categories, the law limits the amount entitled to priority.

☐ Domestic support obligations (including alimony and child support) under 11 U.S.C. § 507(a)(1)(A) or (a)(1)(B). Amount entitled to priority \$ _____

☐ Up to \$2,650* of deposits toward purchase, lease, or rental of property or services for personal, family, or household use. 11 U.S.C. § 507(a)(7). \$ _____

☐ Wages, salaries, or commissions (up to \$12,850*) earned within 180 days before the bankruptcy petition is filed or the debtor's business ends, whichever is earlier. 11 U.S.C. § 507(a)(4). \$ _____

☐ Taxes or penalties owed to governmental units. 11 U.S.C. § 507(a)(8). \$ _____

☐ Contributions to an employee benefit plan. 11 U.S.C. § 507(a)(5). \$ _____

☐ Other. Specify subsection of 11 U.S.C. § 507(a)() that applies. \$ _____

* Amounts are subject to adjustment on 4/01/19 and every 3 years after that for cases begun on or after the date of adjustment.

13. Is all or part of the claim entitled to administrative priority pursuant to 11 U.S.C. § 503(b)(9)? ☒ No
☐ Yes. Indicate the amount of your claim arising from the value of any goods received by the Debtor within 20 days before the date of commencement of the above case, in which the goods have been sold to the Debtor in the ordinary course of such Debtor's business. Attach documentation supporting such claim. \$ _____

Part 3: Sign Below

The person completing this proof of claim must sign and date it. FRBP 9011(b).

If you file this claim electronically, FRBP 5005(a)(2) authorizes courts to establish local rules specifying what a signature is.

A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

Check the appropriate box:

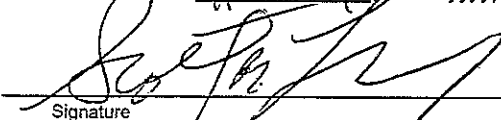
- ☐ I am the creditor.
☒ I am the creditor's attorney or authorized agent.
☐ I am the trustee, or the debtor, or their authorized agent. Bankruptcy Rule 3004.
☐ I am a guarantor, surety, endorser, or other codebtor. Bankruptcy Rule 3005.

I understand that an authorized signature on this *Proof of Claim* serves as an acknowledgment that when calculating the amount of the claim, the creditor gave the debtor credit for any payments received toward the debt.

I have examined the information in this *Proof of Claim* and have a reasonable belief that the information is true and correct.

I declare under penalty of perjury that the foregoing is true and correct.

Executed on date 04/09/2019 (mm/dd/yyyy)


Signature

Print the name of the person who is completing and signing this claim:

Name of the person who is completing and signing this claim:

Name SCOTT M FITZGERALD
First name Middle name Last name

Title PRESIDENT

Company STEEL RIDGE ADVISORS
Identify the corporate servicer as the company if the authorized agent is a servicer.

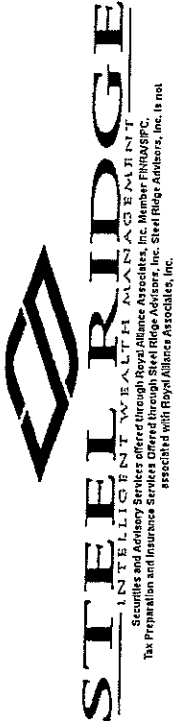
Address 1377 MOTOR PKWY, SUITE 204
Number Street

ISLANDIA NY 11749
City State ZIP Code

Contact phone 631-353-0003 Email sfitzgerald@steelridgeadvisors.com

ENV# CEEGWBCPBBDPXMZ_BBBBB
ROYAL ALLIANCE ASSOCIATES INC.
10 EXCHANGE PLACE, SUITE 1410
JERSEY CITY, NJ 07302

JOSEPH LEGGIO
COLLEEN LEGGIO
2503 NATTA BLVD
BELLMORE NY 11710

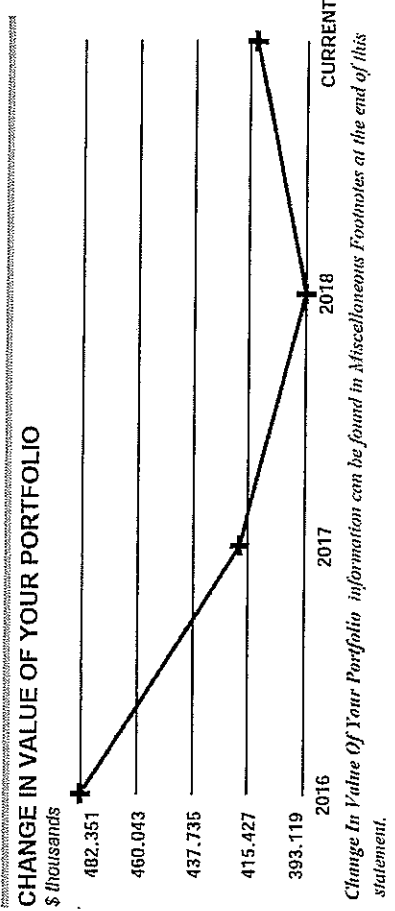


STATEMENT FOR THE PERIOD MARCH 1, 2019 TO MARCH 31, 2019

JOSEPH LEGGIO & COLLEEN LEGGIO - Joint WROS
Account Number: RQV-003761

YOUR FINANCIAL ADVISOR IS:
SCOTT FITZGERALD
RR#: AZP
For questions about your accounts:
Local: 631 353 0003
In-State: 631 353 0003
National: 631 353 0003

TOTAL VALUE OF YOUR PORTFOLIO **\$413,076.67**



Statement for the Period March 1, 2019 to March 31, 2019
JOSEPH LEGGIO & COLLEEN LEGGIO - Joint WROS
Account Number: RQV-003761

Account Overview

CHANGE IN ACCOUNT VALUE	Current Period	Year-to-Date
BEGINNING VALUE	\$416,428.36	\$393,119.22
Additions and Withdrawals	\$0.00	\$0.00
Income	\$265.50	\$1,152.77
Taxes, Fees and Expenses	\$0.00	\$0.00
Change in Value	(\$3,617.19)	\$18,804.68
ENDING VALUE (AS OF 03/31/19)	\$413,076.67	\$413,076.67

Refer to Miscellaneous Footnotes for more information on Change in Value.

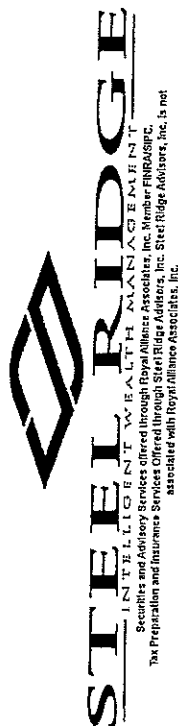
INCOME	Current Period	Year-to-Date
TAXABLE		
Taxable Dividends	\$116.95	\$725.78
Taxable Interest	\$51.93	\$51.93
TOTAL TAXABLE	\$168.88	\$777.71
NON-TAXABLE		
Muni Tax Exempt Interest	\$96.62	\$375.06
TOTAL NON-TAXABLE	\$96.62	\$375.06
TOTAL INCOME	\$265.50	\$1,152.77

Taxable income is determined based on information available to NPS at the time the statement was prepared, and is subject to change. Final information on taxation of interest and dividends is available on Form 1099-Div, which is mailed in February of the subsequent year.

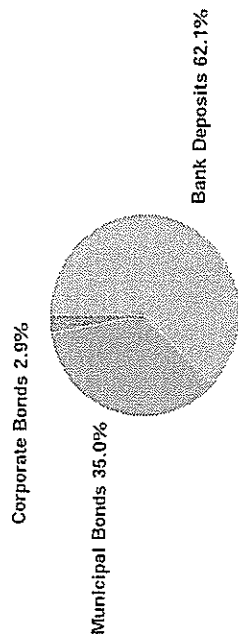
REALIZED GAIN (LOSS)	Current Period	Year-to-Date
Short Term Gain	\$0.00	\$0.00
Short Term Loss	\$0.00	\$0.00
Disallowed Short Term Loss	\$0.00	\$0.00
TOTAL SHORT TERM GAIN (LOSS)	\$0.00	\$0.00

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDPXMZ_BBBB 20190329



ACCOUNT ALLOCATION

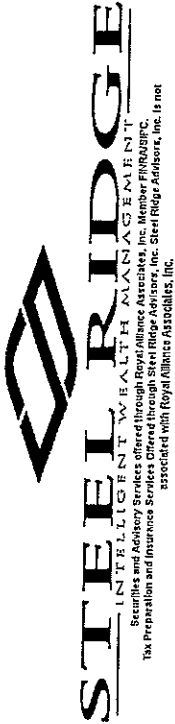


	Percent	Prior Period	Current Period
Money Markets	0.0 %	\$256,147.11	\$0.00
Bank Deposits	62.1	\$0.00	\$256,412.61
Corporate Bonds	2.9	\$22,000.00	\$12,000.00
Municipal Bonds	35.0	\$138,281.25	\$144,664.06
TOTAL	100.0 %	\$416,428.36	\$413,076.67

Account Allocation shows the percentage that each asset class represents of your total account value. Account Allocation for equities, fixed income, and other categories may include mutual funds and may be net of short positions. NPS has made assumptions concerning how certain mutual funds are allocated. Closed-end mutual funds and Exchange Traded Products (ETPs) listed on an exchange may be included in the equity allocation. The chart may not reflect your actual portfolio allocation. Consult your broker/dealer prior to making investment decisions.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
JOSEPH LEGGIO & COLLEEN LEGGIO - Joint WROS
Account Number: RQV-003761



Account Overview *continued*

REALIZED GAIN (LOSS) <i>continued</i>	Current Period	Year-to-Date
Long Term Gain	\$0.00	\$582.19
Long Term Loss	\$0.00	\$0.00
Disallowed Long Term Loss	\$0.00	\$0.00
TOTAL LONG TERM GAIN (LOSS)	\$0.00	\$582.19

NFS-provided cost basis, realized gain (loss) and holding period information may not reflect all adjustments necessary for your tax reporting purposes. Please refer to Footnotes and Cost Basis Information at the end of this statement for more information.

MESSAGES AND ALERTS

DRS - Direct Registration System Transfer Agent Fee Effective May 1, 2014, three transfer agents, Computershare, Wells Fargo, and Registrar and Transfer Company are implementing a \$15 transfer fee for each position moved into your brokerage account via book entry Direct Registration System - DRS. If the fee is charged by the agent, NFS will pass through the charge to the account. As a reminder, there is already an existing fee charged to accounts for outgoing DRS transfers. Please contact your Financial Advisor if you have any questions regarding this fee.

Beginning in January 2019, National Financial Services will enhance the end-investor statement with the following changes. Payee details will be displayed within Activity Sections Description field for transactions that have associated Payee information. A summary level total of Short Dividends charged will be reported within the Account Overview section. Change in Value of Your Portfolio graph will show minimum and maximum scaling on the Y axis, include Negative values and, use clearer data points for information displayed.

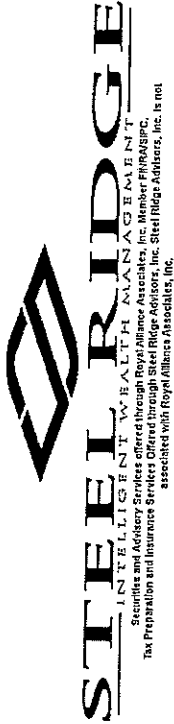
National Financial Services LLC NFS is required by the Securities Exchange Act of 1934 to provide certain financial information from its Statement of Financial Condition. At December 31, 2018, NFS, an affiliate of Fidelity Brokerage Services LLC, had net capital of \$4.012 million, which was 13.67 percent of aggregate debit items and exceeded its minimum requirement by \$3.425 million. To acquire the Statement of Financial Condition, log on to www.mybrokerageinfo.com. If you wish to obtain a copy of this document at no cost, please call 800-439-5627.

Royal Alliance Associates, Inc.

MN_CERGWBPCBBDPXMZ_BBBB 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
JOSEPH LEGGIO & COLLEEN LEGGIO - Joint WROS
Account Number: RQV-003761



Holdings

NES-provided cost basis, realized gain (loss) and holding period information may not reflect all adjustments necessary for tax purposes. Please refer to Footnotes and Cost Basis Information at the end of this statement for more information.

For additional information regarding your holdings, please refer to the footnotes at the end of the statement.

CASH AND CASH EQUIVALENTS - 62.07% of Total Account Value

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income
Bank Deposits					
Bank deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). Funds used to purchase or sweep to a bank deposit are SIPC protected until deposited to a Program Bank at which time funds may be eligible for FDIC insurance. Customers are responsible for monitoring their total deposits at each Program Bank to determine the extent of available FDIC insurance. Refer to the Bank Deposit Detail section which appears later in this statement for information on the banks holding your deposits. If your account was established on the last business day of this month, your statement will not include a Bank Deposit Detail section.					
ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED)	QAGCQ CASH	256,412.61	\$1.00	\$256,412.61	
Estimated Annual Yield 0.37%					
Total Cash and Cash Equivalents				\$256,412.61	

HOLDINGS > FIXED INCOME - 37.93% of Total Account Value

For an explanation of fixed income pricing, please see the last page. Redemption schedule(s), bond rating(s), and other information are provided where available. If information does not appear regarding a particular investment, it is not available. The ratings on this statement are provided by Standard & Poor's and/or Moody's to rate the quality based on the respective rating agency's assessment. Ratings information from Standard & Poor's ("S&P") may not be reproduced. S&P credit ratings are statements of opinion and are not statements of fact or recommendations to purchase, hold, or sell securities, nor do they address the suitability of securities for investment purposes, and should not be relied on as investment advice. S&P does not guarantee the accuracy, completeness, timeliness or availability of any information, including ratings, and is not responsible for errors or omissions (negligent or otherwise). S&P gives no express or implied warranties, including but not limited to any warranties of merchantability or fitness for a particular purpose or use. S&P shall not be liable for any direct, indirect, incidental, exemplary, compensatory, punitive, special or consequential damages, costs, expenses, legal fees, or losses (including lost income or profits and opportunity costs) in connection with any use of ratings.

Description	Symbol/Cusip Account Type	Quantity	Estimated Price on 03/31/19	Estimated Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
Corporate Bonds							
SEARS HLDGS CORP NOTE CALL MAKE WHOLE 6.62500% 10/15/2018	B12350AEG MARGIN	100.000	\$12.00	\$12,000.00		\$93,257.00	
MOODY'S WR CPN PMT SEMI-ANNUAL ON OCT 15, APR 15							

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDIPXNZ_BBBB 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
JOSEPH LEGGIO & COLLEEN LEGGIO - Joint WROS
Account Number: RQV-003761



HOLDINGS > FIXED INCOME *continued*

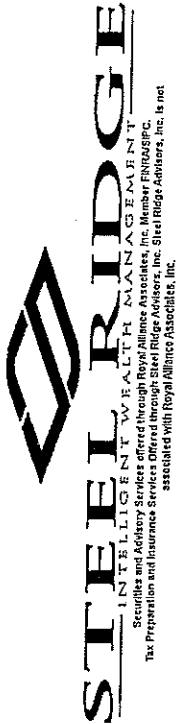
Description	Symbol/Cusip Account Type	Quantity	Estimated Price on 03/31/19	Estimated Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
SEARS HLDGS CORP NOTE CALL MAKE WHOLE <i>continued</i>							
CONTINUOUSLY CALLABLE IN MONETARY DEFAULT Average Unit Cost \$93.26 Adjusted Cost Basis	812350AEG					\$93,257.00 D	(\$91,257.00)
Municipal Bonds							
PUERTO RICO COMWLTH PUB IMPT BDS SER. 05.50000% 07/01/2016 2003A INSURED BY FGIC UNLIMITED GEN OBLIG MOODY'S WR CPN PMT SEMI-ANNUAL ON JAN 01, JUL 01 IN MONETARY DEFAULT Factor 0.75 Current face \$56,250 Average Unit Cost \$57.97	745145Q70 CASH	75,000	\$78.625	\$44,226.56		\$43,479.81	\$746.75
PUERTO RICO COMWLTH REF PUB IMPT BDS							
05.50000% 07/01/2018 SER. 2007-A-1 UNLIMITED GEN OBLIG MOODY'S WR CPN PMT SEMI-ANNUAL ON JAN 01, JUL 01 IN MONETARY DEFAULT Average Unit Cost \$87.11 Adjusted Cost Basis	74514LNC7 CASH	75,000	\$64.25	\$48,187.50		\$65,332.00	(\$17,144.50)
PUERTO RICO COMWLTH PUB IMPT REF BDS							
04.00000% 07/01/2021 SER. 2012A UNLIMITED GEN OBLIG MOODY'S Ca CPN PMT SEMI-ANNUAL ON JAN 01, JUL 01 IN MONETARY DEFAULT Average Unit Cost \$76.36 Adjusted Cost Basis	74514LA49 CASH	100,000	\$52.25	\$52,250.00		\$75,382.00	(\$24,106.84)

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDPXMZ_BBBB 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
JOSEPH LEGGIO & COLLEEN LEGGIO - Joint WROS
Account Number: RQV-003761



HOLDINGS > FIXED INCOME *continued*

Description	Symbol/Cusip Account Type	Quantity	Estimated Price on 03/31/19	Estimated Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
PUERTO RICO COMWLTTH PUB IMPT REF BDS	74514LA49	<i>continued</i>					
Unrealized Market Discount Income	\$790.58 Q						
Total Municipal Bonds		250,000	\$144,664.06			\$185,168.65	(\$40,504.59)
Total Fixed Income		350,000	\$156,664.06			\$278,425.65	(\$121,761.59)
Total Securities			\$156,664.06			\$278,425.65	(\$121,761.59)
TOTAL PORTFOLIO VALUE			\$413,076.67			\$278,425.65	(\$121,761.59)

Activity

NFS-provided cost basis, realized gain (loss) and holding period information may not reflect all adjustments necessary for tax purposes. Please refer to Footnotes and Cost Basis Information at the end of this statement for more information.

PURCHASES, SALES, AND REDEMPTIONS

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
	Securities Sold				
03/11/19	CASH	YOU SOLD	FIDELITY GOVT MMKT CAPITAL RESERVES CL FZAXX TO QAGCQ	(256,147.11)	\$256,147.11
Total Securities Sold					\$256,147.11

ACTIVITY > CORE FUND ACTIVITY

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
03/11/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) QAGCQ IS LIQUID	256,147.11	(\$256,147.11)
03/29/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) @ 1	213.57	(\$213.57)

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MIN_CEBGWBCPBBDPXMZ_BBBBB 20190329

Statement for the Period March 1, 2019 to March 31, 2019
JOSEPH LEGGIO & COLLEEN LEGGIO - Joint WROS
Account Number: RQV-003761



ACTIVITY > CORE FUND ACTIVITY *continued*

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
03/29/19	CASH	REINVESTMENT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) NET INT REINVEST	51.93	(\$51.93)
TOTAL CORE FUND ACTIVITY					(\$256,412.61)

ACTIVITY > INCOME > TAXABLE INCOME

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
Taxable Dividends					
03/29/19	CASH	DIVIDEND RECEIVED	FIDELITY GOVT MMKT CAPITAL RESERVES CL DIVIDEND RECEIVED		\$116.95
Total Taxable Dividends					\$116.95
Taxable Interest					
03/29/19	CASH	INTEREST RECEIVED	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED)		\$51.93
Total Taxable Interest					\$51.93
Total Taxable Income					\$168.88

ACTIVITY > INCOME > NON-TAXABLE INCOME

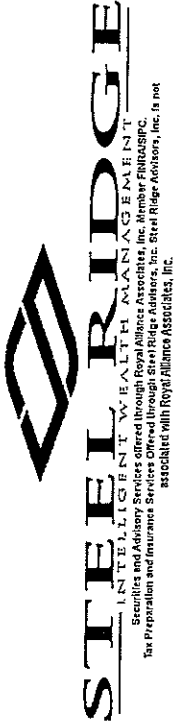
Settlement Date	Account Type	Transaction	Description	Quantity	Amount
Muni Tax Exempt Interest					
02/07/19	CASH	MUNI EXEMPT INT	PUERTO RICO COMWLTH PUB IMPT BDS SER. 05.500000% 07/01/2016 2003A		\$96.62
Total Muni Tax Exempt Interest					\$96.62
Total Non-Taxable Income					\$96.62

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEBGWBCPBBDPXMZ_BBBB 20190329

Statement for the Period March 1, 2019 to March 31, 2019
JOSEPH LEGGIO & COLLEEN LEGGIO - Joint WROS
Account Number: RQV-003761



ACTIVITY *continued*

	Amount
TOTAL INCOME	\$265.50

ACTIVITY >BANK DEPOSIT DETAIL

Bank deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). Customers are responsible for monitoring their total deposits at each Program Bank to determine the extent of available FDIC Insurance. Your Ending Balance at each Program Bank as of the end of this statement period is shown below. If you participate in a Bank Deposit Sweep Program and also hold a Bank Deposit Direct Investment, the Bank Deposit Detail section lists banks and ending balances for both programs. Funds pending settlement reflect deposits to (credit) or withdrawals from (debit) a Program Bank. Subject to the terms of the applicable bank deposit disclosure, customers are reminded that funds are deposited to a Program Bank on the business day following the date that funds are credited to your account and until swept to a Program Bank, funds are covered by SIPC.

Bank	Beginning Balance	Ending Balance
Capital One Bank	\$0.00	\$256,199.04
Current Month's Pending Settlement		\$213.57
Total Bank Deposits	\$0.00	\$256,412.61

Footnotes and Cost Basis Information

Amortization, accretion and similar adjustments to cost basis have been provided for many fixed income securities (and some bond-like equities), however, they are not provided for certain types, such as short-term instruments, Unit Investment Trusts, foreign fixed income securities, or those that are subject to early prepayment of principal (pay downs). Where current year premium or acquisition premium amortization is provided, the prior years' cumulative amortization is reflected in the adjusted cost basis, but we cannot provide a breakdown or the total of such prior amortization amounts.

NFS is required to report certain cost basis and related information to the IRS on the Form 1099-B. Your official 1099-B forms for certain transactions will reflect which lots have been sold for tax purposes. To apply a specific identification cost basis method to 1099-B reporting, appropriate instructions must be on file with NFS or be received by NFS before the trade has settled. Absent such instructions, NFS determines cost basis at the time of sale based on its default methods of average cost for open-end mutual funds and first-in, first-out (FIFO) for all other (including ETFs) unless your broker dealer has elected to use another default method. NFS applies FIFO (or other disposal method, if applicable) based on its records, which may be different from yours. For transactions that are not subject to 1099-B cost basis reporting, you should refer to your trade confirmations and other applicable records to determine which lots were considered sold for tax purposes.

While NFS must meet IRS requirements with respect to certain information required to be reported to the IRS, NFS provided cost basis, realized gain and loss, and holding period information may not reflect all adjustments necessary for your tax reporting purposes. NFS makes no warranties with respect to and specifically disclaims any liability arising out of a customer's use of, or any tax position taken in reliance upon, such information.

For investments in partnerships, NFS does not make any adjustments to cost basis information as the calculation of basis in such investments requires supplemental information from the partnership on its income and distributions during the period you held your investment. Partnerships usually provide this additional information on a Form K-1 issued by April 15th of the following year.

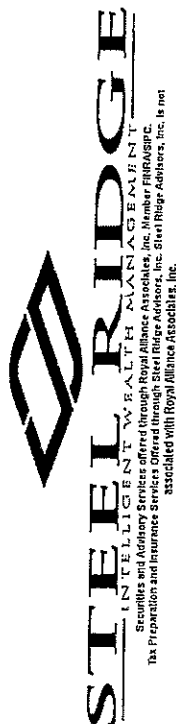
Consult your tax advisor for further information.

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEBGWBCPBRDPXNZ_BBBBBB 20190329

Statement for the Period March 1, 2019 to March 31, 2019
JOSEPH LEGGIO & COLLEEN LEGGIO - Joint WROS
Account Number: RQV-003761



Footnotes and Cost Basis Information *continued*

D - Adjusted cost basis reflects any cumulative original issue discount, premium, or acquisition premium, and it assumes such amounts were amortized by the taxpayer over the life of the security from acquisition date through disposition date. For securities still held, maturity date was used instead of disposition date. Premium amortization was calculated using the yield-to-maturity method. Acquisition premium was calculated using the ratable accrual method. If applicable, adjusted cost basis reflects market discount accretion which was calculated using the straight-line method and was recognized at disposition date. Gain/loss displayed for this transaction was based on cost basis as adjusted for premium and discount as stated above and does not reflect any losses disallowed because of wash sales (if applicable). The adjusted cost basis may not reflect all adjustments necessary for tax reporting purposes and may also not apply if you are using an alternative amortization calculation method. Refer to IRS Publication 550, Investment Income and Expenses, for additional information. Q - Unrealized Market discount income was calculated using the straight-line method from acquisition date through statement period ending date. Our calculation assumes the taxpayer has elected to defer recognizing the market discount until sale (disposition). Other elections available under tax laws may be more beneficial, depending on your individual tax situation. For Federal tax purposes, market discount income from both taxable and tax-exempt bonds is treated as taxable interest income.

If a sale, redemption or other disposition involved multiple tax lots, the transaction's totals may have been calculated using a combination of adjusted and unadjusted cost basis information. For lots where adjusted cost basis and its associated gain/loss are known, that was used, otherwise "regular" unadjusted cost basis and its associated gain/loss was used.

Miscellaneous Footnotes

CHANGE IN VALUE OF YOUR PORTFOLIO is the change in market value of your portfolio assets over the time period shown. The portfolio assets include the market value of all the securities in the account, plus insurance and annuity assets if applicable. The time frame of the graph is from account opening or September 2011, whichever is later, to the current period. Please note that large increases and/or declines in the value of the portfolio can be due to additions, distribution and/or performance.

CHANGE IN VALUE reflects appreciation or depreciation of your holdings due to price changes plus any activity not reflected within Additions and Withdrawals, Income, Taxes, Fees and Expenses, and Other Activity sections. Change in Value does not reflect activity related to assets in which NFS is not the custodian (e.g. Insurance and Annuities, Assets Held Away and Other Assets Held Away).

CALLABLE SECURITIES LOTTERY - When street name or bearer securities held for you are subject to a partial call or partial redemption by the issuer, NFS may or may not receive an allocation of called/redeemed securities by the issuer, transfer agent and/or depository. If NFS is allocated a portion of the called/redeemed securities, NFS utilizes an impartial lottery allocation system, in accordance with applicable rules, that randomly selects the securities within customer accounts that will be called/redeemed. NFS' allocations are not made on a pro rata basis and it is possible for you to receive a full or partial allocation, or no allocation. You have the right to withdraw uncalled fully paid securities at any time prior to the cutoff date and time established by the issuer, transfer agent and/or depository with respect to the partial call, and also to withdraw excess margin securities provided your account is not subject to restriction under Regulation T or such withdrawal will not cause an undermargined condition.

PRICING INFORMATION - Prices displayed are obtained from sources that may include pricing vendors, broker/dealers who clear through NFS and/or other sources. Prices may not reflect current fair market value and/or may not be readily marketable or redeemable at the prices shown.

FOREIGN EXCHANGE TRANSACTIONS - Some transaction types necessitate a foreign currency exchange (FX) in order to settle. FX transactions may be effected by Fidelity Forex, Inc. on a principal basis. Fidelity Forex, Inc., an affiliate of NFS, may impose a commission or markup on the prevailing interbank market price, which may result in a higher price to you. Fidelity Forex, Inc. may share a portion of any FX commission or markup with NFS. More favorable rates may be available through third parties not affiliated with NFS. The rate applicable to any transaction involving an FX is available upon request through your broker-dealer.

COST BASIS LEGISLATION - New IRS Rules will require National Financial Services to report cost basis and holding period information for the sale of shares of open end Mutual Fund Holdings purchased on or after January 1, 2012 on Form 1099-B. National Financial Services determines the cost basis for all shares of open end mutual funds using a default method of average cost. Alternatively, account owners or their brokers and advisors can instruct National Financial Services to determine the cost basis for shares of open end mutual funds by 1) selling up their non-retirement accounts with one of our eleven tax lot disposal methods available to investors or 2) identifying specific tax lots to sell at the time of a transaction. Contact your broker or advisor to learn more about the cost basis tracking of your holdings.

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC. Member
NYSE, SIPC

MN_CEBGWBCPBBDPXMZ_BBBB 20190329

GLOSSARY Short Account Balances-If you have sold securities under the short sale rule, we have, in accordance with regulations, segregated the proceeds from such transactions in your Short Account. Any market increases or decreases from the original sale price will be marked to the market and will be transferred to your Margin Account on a weekly basis. **Market Value** - The Total Market Value has been calculated out to 9 decimal places, however, the individual unit price is displayed in 5 decimal places. The Total Market Value represents prices obtained from various sources, may be impacted by the frequency in which such prices are reported and such prices are not guaranteed. Prices received from pricing vendors are generally based on current market quotes, but when such quotes are not available the pricing vendors use a variety of techniques to estimate value. These estimates, particularly for **fixed income securities**, may be based on certain minimum principal amounts (e.g. \$1 million) and may not reflect all of the factors that affect the value of the security, including liquidity risk. The prices provided are not firm bids or offers. Certain securities may reflect "N/A" or "unavailable" where the price for such security is generally not available from a pricing source. The Market Value of a security, including those priced at par value, may differ from its purchase price and may not

CUSTOMER SERVICE: Please review your statement and report any inaccuracy or discrepancy immediately by calling the telephone number of your broker-dealer reflected on the front of this statement. Reports of any inaccuracy or discrepancy regarding your brokerage account or the activity therein should be directed to your broker-dealer at the telephone number and address reflected on the front of this statement and National Financial Services LLC ("NFS").

NFS carries your brokerage account and acts as your custodian for funds and securities that are deposited with NFS by you or your broker-dealer. In addition to your initial contact with your broker-dealer you may contact NFS at (800) 801-9942. Any oral communications regarding inaccuracies or discrepancies should be reconfirmed in writing to protect your rights, including those under the Securities Investor Protection Act ("SIPA"). When contacting either your broker-dealer or NFS, remember to include your entire brokerage account number to ensure a prompt reply.

ADDITIONAL INFORMATION Free credit balances ("FCB") are funds payable to you on demand. FCB are subject to open commitments such as uncanceled checks and exclude proceeds from sales of certificated securities without delivery of the certificate. If your FCB is swept to a core position, you can liquidate the core position and have the proceeds sent to you or held in your account subject to the terms of your account agreement. Required rule 10b-10(a) information not contained herein will be provided on written request. Fidelity may use this free credit balance in connection with its business, subject to applicable law.

Credit Adjustment Program. Accountholders receiving payments in lieu of qualified dividends may not be eligible to receive credit adjustments intended to help cover additional associated federal tax burdens. NFS reserves the right to deny the adjustment to any accountholder and to amend or terminate the credit adjustment program.

Options Customers. Each transaction confirmation previously delivered to you contains full information about commissions and other charges. If you require further information, please contact your broker-dealer.

Assignments of American and European-style options are allocated among customer short positions pursuant to a random allocation procedure, a description of which is available upon request. Short positions in American-style options are liable for assignment at any time. The writer of a European-style option is subject to exercise assignment only during the exercise period. You should advise your broker-dealer promptly of any material change in your investment objectives or financial situation. **Splits, Dividends, and Interest.** Expected stock split, next dividend payable, and next interest payable information has been provided by third parties and may be subject to change. Information for certain securities may be missing if not received from third parties in time for printing. NFS is not responsible for inaccurate, incomplete, or missing information. Please consult your broker-dealer for more information about expected stock split, next dividend payable, and next interest payable for certain securities.

Equity Dividend Reinvestment Customers. Shares credited to your brokerage account resulted from transactions effected as agent by either: 1) Your broker-dealer for your investment account, or 2) through the Depository Trust Company (DTC) dividend reinvestment program. For broker-dealer effected transactions, the time of the transactions, the exchange upon which these transactions occurred and the name of the person from whom the security was purchased will be furnished upon written request. NFS may have acted as market maker in effecting trades in over-the-counter securities.

Refirement Contributions/Distributions. A summary of retirement contributions/distributions is displayed for you in the activity summary section of your statement. **Income Reporting.** NFS reports earnings from investments in Traditional IRAs, Rollover IRAs, SEP-IRAs and, Keoghs as tax-deferred income. Earnings from Roth IRAs are reported as tax-free income, since distributions may be tax-free after meeting the 5 year aging requirement and certain other conditions. A financial statement of NFS is available for your personal inspection at its office or a copy of it will be mailed to you upon your written request.

Statement Mailing. NFS will deliver statements by mail or, if applicable, notify you by e-mail of your statement's availability, if you had transactions that affected your cash balances or security positions held in your account(s) during the last monthly reporting period. At a minimum, all brokerage customers will receive quarterly statements (at least four times per calendar year) as long as their accounts contain a cash or securities balance.

Loads and Fees. In connection with (i) access to, purchase or redemption of, and/or maintenance of positions in mutual funds and other investment products ("funds") or (ii) infrastructure needed to support such funds, some funds, or their investment affiliates, pay your introducing broker dealer and/or NFS sales loads and 12b-1 fees

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDPMZ_BBBBB 20190329

closely reflect the value at which the security may be sold or purchased based on various market factors. Investment decisions should be made only after consulting your broker-dealer.

Estimated Annual Income (EAI) & Estimated Yield (EY) - EAI for fixed income is calculated using the coupon rate. For all other securities, EAI is calculated using an indicated annual dividend (IAD). The IAD is an estimate of a security's dividend payments for the next 12 months calculated based on prior and/or declared dividends for that security. EY reflects only the income generated by an investment and not changes in its price which may fluctuate. Interest and dividend rates are subject to change at any time and may be affected by current and future economic, political and business conditions. EAI and EY are estimates only and may include return of principal and/or capital gains, which would render them overstated. EAI and EY are provided for informational purposes only and should not be used or relied on for making investment, trading or tax decisions. EAI and EY are based on data obtained from information providers believed to be reliable, but no assurance can be made as to accuracy, timeliness or completeness.

described in the prospectus as well as additional compensation for shareholder services, start-up fees, infrastructure support and maintenance, and other programs. Additional information about the source(s) and amount(s) of compensation as well as other remuneration received by your introducing broker dealer and/or NFS will be furnished to you upon written request. At time of purchase fund shares may be assigned a load, transaction fee or no transaction fee status. At time of sale, any fees applicable to your transaction will be assessed based on the status assigned to the shares at time of purchase. **Margin.** If you have applied for margin privileges and been approved, you may borrow money from NFS in exchange for pledging the assets in your account as collateral for any outstanding margin loan. The amount you may borrow is based on the value of your securities in your margin account, which is identified on your statement. If you have a margin account, this is a combined statement of your margin account and special memorandum account other than your non-purpose margin accounts maintained for you under Section 220.5 of Regulation T issued by the Board of Governors of the Federal Reserve Board. The permanent record of the separate account, as required by Regulation T, is available for your inspection upon request. **NYSE and FINRA.** All transactions are subject to the constitution, rules, regulations, customs, usages, rulings and interpretations of the exchange market and its clearing house, if any, where the transactions are executed, and of the New York Stock Exchange (NYSE) and of the Financial Industry Regulatory Authority ("FINRA"). The FINRA requires that we notify you in writing of the availability of an investor brochure that includes information describing FINRA Regulation's BrokerCheck Program ("Program"). To obtain a brochure or more information about the Program or FINRA Regulation, contact the FINRA Regulation BrokerCheck Program Hotline at (800) 289-9999 or access the FINRA's web site at www.finra.org. **FINRA Rule 4311** requires that your broker-dealer and NFS allocate between them certain functions regarding the administration of your brokerage account. The following is a summary of the allocation services performed by your broker-dealer and NFS. A more complete description is available upon request. **Your broker-dealer is responsible for:** (1) obtaining and verifying brokerage account information and documentation, (2) opening, approving and monitoring your brokerage account, (3) transmitting timely and accurate orders and other instructions to NFS with respect to your brokerage account, (4) determining the suitability of investment recommendations and advice, (5) operating, and supervising your brokerage account and its own activities in compliance with applicable laws and regulations including compliance with margin rules pertaining to your margin account, if applicable, and (6) maintaining required books and records for the services that it performs. **NFS is responsible for:** (1) executing, clear and settle transactions processed through NFS by your broker-dealer, (2) prepare and send transaction confirmations and periodic statements of your brokerage account (unless your broker-dealer has undertaken to do so). Certain securities pricing and descriptive information may be provided by your broker-dealer or obtained from third parties deemed to be reliable, however, this information has not been verified by NFS, (3) act as custodian for funds and securities received by NFS on your behalf, (4) follow the instructions of your broker-dealer with respect to transactions and the receipt and delivery of funds and securities for your brokerage account, and (5) extend margin credit for purchasing or carrying securities on margin. Your broker-dealer is responsible for ensuring that your brokerage account is in compliance with federal, industry and NFS margin rules, and for advising you of margin requirements. NFS shall maintain the required books and records for the services it performs. **Securities in accounts carried by NFS** are protected in accordance with the Securities Investor Protection Corporation ("SIPC") up to \$500,000. The \$500,000 total amount of SIPC protection is inclusive of up to \$250,000 protection for claims for cash, subject to periodic adjustments for inflation in accordance with terms of the SIPC statute and approval by SIPC's Board of Directors. NFS also has arranged for coverage above these limits. Neither coverage protects against a decline in the market value of securities, nor does either coverage extend to certain securities that are considered ineligible for coverage. For more details on SIPC, or to request a SIPC brochure, visit www.sipc.org or call 1-202-371-8300. Funds used to purchase or sweep to a bank deposit are SIPC protected until deposited to a Program Bank at which time funds may be eligible for FDIC insurance. Assets Held Away, commodities, unregistered investment contracts, futures accounts, loaned securities and other investments may not be covered. Precious metals are not covered by SIPC protection. Mutual funds and/or other securities are not backed or guaranteed by any bank, nor are they insured by the FDIC and involve investment risk including possible loss of principal.

End of Statement

722239.7.0

Account carried with National Financial Services LLC, Member
NYSE, SIPC

UNITED STATES BANKRUPTCY COURT
SOUTHERN DISTRICT OF NEW YORK

_____	X	
	:	Chapter 11
	:	
In Re	:	Case No. 18-23538 (RDD)

SEARS HOLDING CORPORATION, et al.,

Debtors

(Jointly Administered)

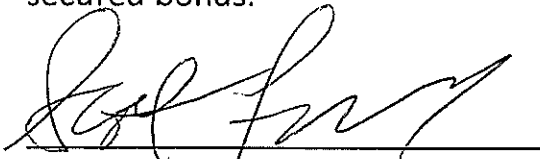
_____X

Response to objection by Sears Holding to Proofs of Claims (Reclassifying Claims)

Claim # 17439/USD 31,000.

Alfred Tosi
PO Box 605
Salem, SC 29676

Please do not allow Sears Corporation to (i)reclassify to general unsecured claims,
as I own second lien PIK notes and purchased these specifically based they were
secured bonds.



Scott M. Fitzgerald/Authorized Agent

President
Steel Ridge Advisors
1377 Motor Pkwy, Suite 204
Islandia, NY 11749
sfitzgerald@steelridgeadvisors.com
(631) 353-0003

11/5/2021

Contact 844.384.4460 Client Login



Sears Holdings Corporation (18-23538)

[CHANGE CASE](#)

[Case Info](#) [Docket](#) [Claims](#) [Submit a Claim](#) [Submit Inquiry](#)

[Search Docket](#) [Search Claim](#)

Schedule	Claim #	Filed Date	Creditor Name	Debtor Name	Claim Value
	17439	04/10/2019	Tosi, Alfred	Sears Holdings Corporation	\$ 31,000.00

Creditor Data Details for Claim # 17439

Creditor
Tosi, Alfred

Date Filed
04/10/2019

Debtor Name
Sears Holdings Corporation
Schedule Number

Claim Number
17439

Proof of Claim
[View PDF](#) [Email PDF](#)

	Schedule Amount C*U*D*	Asserted Claim Amount C*U*F*	Current Claim Status
General Unsecured			
Priority			
Secured		\$31,000.00	\$31,000.00 Asserted
503(b)(9) Admin Priority			
Admin Priority			
Total	\$0.00	\$31,000.00	\$31,000.00

*C=Contingent, U=Unliquidated, D=Disputed, F=Foreign

Prime Clerk maintains this website for the public's convenience and for general informational purposes only. Anyone using this website is cautioned NOT to rely on any information contained on this Website, and any user of this website should not take or refrain from taking any action based upon anything included or not included on this website. We are not a law firm or a substitute for

[Open in new window](#)

Select scope

Claim Number(s)(e.g. 1,3,5-7)

Schedule Number

Creditor name

Debtor(s)

Select Classification

Select Search Operator

Amount

Date from

Date to

-

[Search Claim](#)

[Reset](#)

Page 1 of 1

20

View 1 of 1

[Home](#) [Leadership](#) [Disclaimer](#) [Terms & Conditions](#)

©2016 Prime Clerk. All rights reserved.



Contact 844.384.4460 Client Login



Sears Holdings Corporation (18-23538)

[CHANGE CASE](#)

Case Info Docket Claims Submit a Claim Submit Inquiry

Search Docket Search Claim

Q Enter number or name

Schedule	Claim #	Filed Date	Creditor Name	Debtor Name	Claim value
	17439	04/10/2019	Tosi, Alfred	Sears Holdings Corporation	\$ 31,000.00

Select scope

Claims Only

Claim Number(s)(e.g. 1,3,5-7)

17439

Schedule Number

Creditor name

Debtor(s)

Sears Holdings Corporation(18-23538)

Select Classification

Select an Option

Select Search Operator

Select an Option

Amount

Date from

Date to

Search Claim

[Reset](#)

Creditor Data Details for Claim # 17439

Creditor
Tosi, Alfred

Date Filed
04/10/2019

Debtor Name
Sears Holdings Corporation
Schedule Number

Claim Number
17439

Proof of Claim

[View PDF](#) [Email PDF](#)

	Schedule Amount C*UD*	Asserted Claim Amount C*UF*	Current Claim Status
General Unsecured		\$31,000.00	\$31,000.00 Asserted
Priority			
Secured			
503(b)(9) Admin Priority			
Admin Priority			
Total	\$0.00	\$31,000.00	\$31,000.00

*C=Contingent, U=Unliquidated, D=Disputed, F=Foreign

Prime Clerk maintains this website for the public's convenience and for general informational purposes only. Anyone using this website is cautioned NOT to rely on any information contained on this Website, and any user of this website should not take or refrain from taking any action based upon anything included or not included on this website. We are not a law firm or a substitute for

[Open in new window](#)

Page 1 of 1

20

View 1 - 1 of 1

Home Leadership Disclaimer Terms & Conditions

©2016 Prime Clerk. All rights reserved.

Fill in this information to identify the case (Select only one Debtor per claim form):

<input checked="" type="checkbox"/> Sears Holdings Corporation (18-23538)	<input type="checkbox"/> Kmart Corporation (18-23549)	<input type="checkbox"/> Sears, Roebuck de Puerto Rico, Inc. (18-23561)	<input type="checkbox"/> MyGofer LLC (18-23573)	<input type="checkbox"/> Kmart.com LLC (18-23585)
<input type="checkbox"/> Sears, Roebuck and Co. (18-23537)	<input type="checkbox"/> MaxServ, Inc. (18-23550)	<input type="checkbox"/> SYW Relay LLC (18-23562)	<input type="checkbox"/> Sears Brands Business Unit Corporation (18-23574)	<input type="checkbox"/> Sears Brands Management Corporation (18-23586)
<input type="checkbox"/> Kmart Holding Corporation (18-23539)	<input type="checkbox"/> Private Brands, Ltd. (18-23551)	<input type="checkbox"/> Wally Labs LLC (18-23563)	<input type="checkbox"/> Sears Holdings Publishing Company, LLC (18-23575)	<input type="checkbox"/> SHC Licensed Business LLC (18-23616)
<input type="checkbox"/> Kmart Operations LLC (18-23540)	<input type="checkbox"/> Sears Development Co. (18-23552)	<input type="checkbox"/> Big Beaver of Florida Development, LLC (18-23564)	<input type="checkbox"/> Kmart of Michigan, Inc. (18-23576)	<input type="checkbox"/> SHC Promotions LLC (18-23630)
<input type="checkbox"/> Sears Operations LLC (18-23541)	<input type="checkbox"/> Sears Holdings Management Corporation (18-23553)	<input type="checkbox"/> California Builder Appliances, Inc. (18-23565)	<input type="checkbox"/> SHC Desert Springs, LLC (18-23577)	<input type="checkbox"/> SRe Holding Corporation (19-22301)
<input type="checkbox"/> ServiceLive, Inc. (18-23542)	<input type="checkbox"/> Sears Home & Business Franchises, Inc. (18-23554)	<input type="checkbox"/> Florida Builder Appliances, Inc. (18-23566)	<input type="checkbox"/> SOE, Inc. (18-23578)	
<input type="checkbox"/> A&E Factory Service, LLC (18-23543)	<input type="checkbox"/> Sears Home Improvement Products, Inc. (18-23555)	<input type="checkbox"/> KBL Holding Inc. (18-23567)	<input type="checkbox"/> StarWest, LLC (18-23579)	
<input type="checkbox"/> A&E Home Delivery, LLC (18-23544)	<input type="checkbox"/> Sears Insurance Services, LLC (18-23556)	<input type="checkbox"/> KLC, Inc. (18-23568)	<input type="checkbox"/> STI Merchandising, Inc. (18-23580)	
<input type="checkbox"/> A&E Lawn & Garden, LLC (18-23545)	<input type="checkbox"/> Sears Procurement Services, Inc. (18-23557)	<input type="checkbox"/> Sears Protection Company (Florida), L.L.C. (18-23569)	<input type="checkbox"/> Troy Coolidge No. 13, LLC (18-23581)	
<input type="checkbox"/> A&E Signature Service, LLC (18-23546)	<input type="checkbox"/> Sears Protection Company (18-23558)	<input type="checkbox"/> Kmart of Washington LLC (18-23570)	<input type="checkbox"/> BlueLight.com, Inc. (18-23582)	
<input type="checkbox"/> FBA Holdings Inc. (18-23547)	<input type="checkbox"/> Sears Protection Company (PR) Inc. (18-23559)	<input type="checkbox"/> Kmart Stores of Illinois LLC (18-23571)	<input type="checkbox"/> Sears Brands, L.L.C. (18-23583)	
<input type="checkbox"/> Innovel Solutions, Inc. (18-23548)	<input type="checkbox"/> Sears Roebuck Acceptance Corp. (18-23560)	<input type="checkbox"/> Kmart Stores of Texas LLC (18-23572)	<input type="checkbox"/> Sears Buying Services, Inc. (18-23584)	

Proof of Claim

04/16

Read the instructions before filling out this form. This form is for making a claim for payment in a bankruptcy case. Do not use this form to make a request for payment of an administrative expense, other than a claim entitled to administrative priority pursuant to 11 U.S.C. § 503(b)(9). Make such a request according to 11 U.S.C. § 503.

Filers must leave out or redact information that is entitled to privacy on this form or on any attached documents. Attach redacted copies of any documents that support the claim, such as promissory notes, purchase orders, invoices, itemized statements of running accounts, contracts, judgments, mortgages, and security agreements. Do not send original documents; they may be destroyed after scanning. If the documents are not available, explain in an attachment.

A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

Fill in all the information about the claim as of the date the case was filed. That date is on the notice of bankruptcy (Form 309) that you received.

Part 1: Identify the Claim

1. Who is the current creditor?	ALFRED TOSI Name of the current creditor (the person or entity to be paid for this claim) Other names the creditor used with the debtor	
2. Has this claim been acquired from someone else?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. From whom?	
3. Where should notices and payments to the creditor be sent? Federal Rule of Bankruptcy Procedure (FRBP) 2002(g)	Where should notices to the creditor be sent? PO BOX 605 SALEM, SC 29676 Contact phone 864-882-7520 Contact email ludsgirl@aol.com	Where should payments to the creditor be sent? (if different) NATIONAL FINANCIAL SERVICES C/O ROYAL ALLIANCE 10 EXCHANGE PLAZA SUITE 1410 JERSEY CITY, NJ 07302 RQV-003671 Contact phone 631-353-0003 Contact email sfitzgerald@steelridgeadvisors.com
4. Does this claim amend one already filed?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. Claim number on court claims registry (if known) Filed on MM / DD / YYYY	
5. Do you know if anyone else has filed a proof of claim for this claim?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. Who made the earlier filing?	

Part 2: Give Information About the Claim as of the Date the Case Was Filed

6. Do you have any number you use to identify the debtor?	<input type="checkbox"/> No <input checked="" type="checkbox"/> Yes. Last 4 digits of the debtor's account or any number you use to identify the debtor: <u>6</u> <u>4</u> <u>6</u> <u>3</u>
7. How much is the claim?	<div style="display: flex; justify-content: space-between;"><div>\$ <u>31,000.00</u></div><div>Does this amount include interest or other charges? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. Attach statement itemizing interest, fees, expenses, or other charges required by Bankruptcy Rule 3001(c)(2)(A).</div></div>
8. What is the basis of the claim?	<p>Examples: Goods sold, money loaned, lease, services performed, personal injury or wrongful death, or creditcard.</p> <p>Attach redacted copies of any documents supporting the claim required by Bankruptcy Rule 3001(c).</p> <p>Limit disclosing information that is entitled to privacy, such as health care information.</p>
9. Is all or part of the claim secured?	<div><input type="checkbox"/> No <input checked="" type="checkbox"/> Yes. The claim is secured by a lien on property.</div> <div style="margin-left: 40px;">Nature of property: <input type="checkbox"/> Real estate. If the claim is secured by the debtor's principal residence, file a <i>Mortgage Proof of Claim Attachment</i> (Official Form 410-A) with this <i>Proof of Claim</i>. <input type="checkbox"/> Motor vehicle <input checked="" type="checkbox"/> Other. Describe: <u>SEARS HLDGS CORP. 6 5/8% SENIOR SECURED NOTE</u> <u>Dee</u> <u>10/15/18</u></div> <div style="margin-left: 40px;">Basis for perfection: Attach redacted copies of documents, if any, that show evidence of perfection of a security interest (for example, a mortgage, lien, certificate of title, financing statement, or other document that shows the lien has been filed or recorded.)</div> <div style="margin-left: 40px;">Value of property: \$ _____</div> <div style="margin-left: 40px;">Amount of the claim that is secured: \$ _____</div> <div style="margin-left: 40px;">Amount of the claim that is unsecured: \$ _____ (The sum of the secured and unsecured amounts should match the amount in line 7.)</div> <div style="margin-left: 40px;">Amount necessary to cure any default as of the date of the petition: \$ _____</div> <div style="margin-left: 40px;">Annual Interest Rate (when case was filed) _____ % <input type="checkbox"/> Fixed <input type="checkbox"/> Variable</div>
10. Is this claim based on a lease?	<div><input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. Amount necessary to cure any default as of the date of the petition. \$ _____</div>
11. Is this claim subject to a right of setoff?	<div><input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. Identify the property: _____</div>

12. Is all or part of the claim entitled to priority under 11 U.S.C. § 507(a)? ☒ No
☐ Yes. Check one:

A claim may be partly priority and partly nonpriority. For example, in some categories, the law limits the amount entitled to priority.

☐ Domestic support obligations (including alimony and child support) under 11 U.S.C. § 507(a)(1)(A) or (a)(1)(B). Amount entitled to priority \$ _____

☐ Up to \$2,850* of deposits toward purchase, lease, or rental of property or services for personal, family, or household use. 11 U.S.C. § 507(a)(7). \$ _____

☐ Wages, salaries, or commissions (up to \$12,850*) earned within 180 days before the bankruptcy petition is filed or the debtor's business ends, whichever is earlier. 11 U.S.C. § 507(a)(4). \$ _____

☐ Taxes or penalties owed to governmental units. 11 U.S.C. § 507(a)(8). \$ _____

☐ Contributions to an employee benefit plan. 11 U.S.C. § 507(a)(5). \$ _____

☐ Other. Specify subsection of 11 U.S.C. § 507(a)() that applies. \$ _____

* Amounts are subject to adjustment on 4/01/19 and every 3 years after that for cases begun on or after the date of adjustment.

13. Is all or part of the claim entitled to administrative priority pursuant to 11 U.S.C. § 503(b)(9)? ☒ No
☐ Yes. Indicate the amount of your claim arising from the value of any goods received by the Debtor within 20 days before the date of commencement of the above case, in which the goods have been sold to the Debtor in the ordinary course of such Debtor's business. Attach documentation supporting such claim. \$ _____

Part 3: Sign Below

The person completing this proof of claim must sign and date it. FRBP 9011(b).

If you file this claim electronically, FRBP 5005(a)(2) authorizes courts to establish local rules specifying what a signature is.

A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

Check the appropriate box:

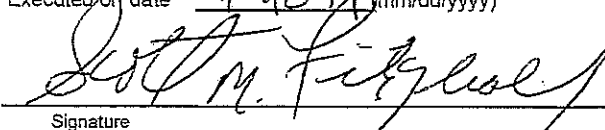
- ☐ I am the creditor.
☒ I am the creditor's attorney or authorized agent.
☐ I am the trustee, or the debtor, or their authorized agent. Bankruptcy Rule 3004.
☐ I am a guarantor, surety, endorser, or other codebtor. Bankruptcy Rule 3005.

I understand that an authorized signature on this *Proof of Claim* serves as an acknowledgment that when calculating the amount of the claim, the creditor gave the debtor credit for any payments received toward the debt.

I have examined the information in this *Proof of Claim* and have a reasonable belief that the information is true and correct.

I declare under penalty of perjury that the foregoing is true and correct.

Executed on date 04/02/2019 (mm/dd/yyyy)


 Signature

Print the name of the person who is completing and signing this claim:

Name of the person who is completing and signing this claim:

Name SCOTT M FITZGERALD
 First name Middle name Last name

Title PRESIDENT

Company STEEL RIDGE ADVISORS
 Identify the corporate servicer as the company if the authorized agent is a servicer.

Address 1377 MOTOR PKWY, SUITE 204
 Number Street

ISLANDIA NY 11749
 City State ZIP Code

Contact phone 631-353-0003 Email sfitzgerald@steelridgeadvisors.com

ENV# CEBGWBCPBBDPXLM_BBBB
ROYAL ALLIANCE ASSOCIATES INC.
10 EXCHANGE PLACE, SUITE 1410
JERSEY CITY, NJ 07302

ALFRED TOSI TTEE
ALFRED TOSI JR LIVING TRUST
U/A 8/18/99
PO BOX 605
SALEM SC 29676

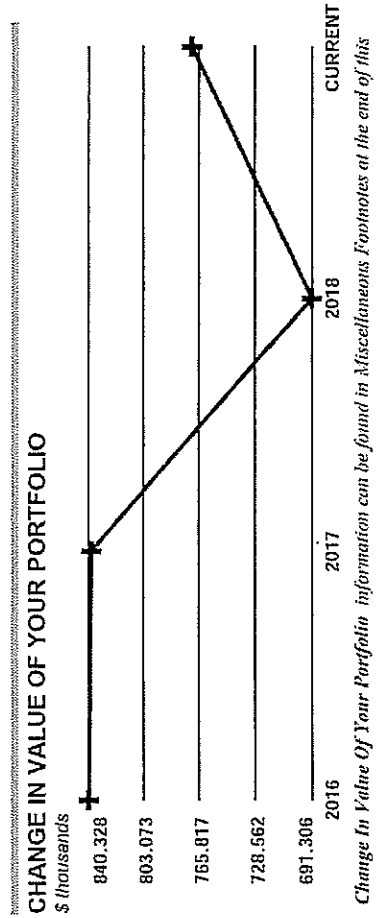


STATEMENT FOR THE PERIOD MARCH 1, 2019 TO MARCH 31, 2019

ALFRED TOSI JR LIVING TRUST - Trust: Under Agreement
Account Number: RQV-003671

YOUR FINANCIAL ADVISOR IS:
SCOTT FITZGERALD
RR#: AZP
For questions about your accounts:
Local: 631 353 0003
In-State: 631 353 0003
National: 631 353 0003

TOTAL VALUE OF YOUR PORTFOLIO \$770,905.55



Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEBGWBCPBBDPXLM_BBBB 20190329

Statement for the Period March 1, 2019 to March 31, 2019
ALFRED TOSI JR LIVING TRUST - Trust: Under Agreement
Account Number: RQV-003671

Account Overview

CHANGE IN ACCOUNT VALUE	Current Period	Year-to-Date
BEGINNING VALUE	\$759,370.51	\$691,306.62
Additions and Withdrawals	\$0.00	\$0.00
Income	\$1,231.92	\$7,394.11
Taxes, Fees and Expenses	\$0.00	\$0.00
Change in Value	\$10,303.12	\$72,204.82
ENDING VALUE (AS OF 03/31/19)	\$770,905.55	\$770,905.55
Total Pending Accrued Dividends	\$180.00	
Ending Value with Accrued Dividends	\$771,085.55	

Refer to Miscellaneous Footnotes for more information on Change in Value.

Pending dividends and stock distributions reflect projected values only; are subject to change and may not represent the actual amount, if any, that you may receive. This information is provided for informational purposes only and should not be relied on for tax reporting or other purposes.

INCOME	Current Period	Year-to-Date
TAXABLE		
Taxable Dividends	\$1,230.67	\$7,392.86
Taxable Interest	\$1.25	\$1.25
TOTAL TAXABLE	\$1,231.92	\$7,394.11
TOTAL INCOME	\$1,231.92	\$7,394.11

Taxable income is determined based on information available to NFS at the time the statement was prepared, and is subject to change. Final information on taxation of interest and dividends is available on Form 1099-Div, which is mailed in February of the subsequent year.

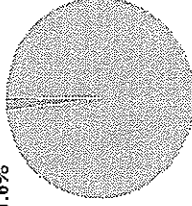
Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDPXLMM_BBBBBB 20190329



ACCOUNT ALLOCATION

Fixed Income 0.5%
Bank Deposits 1.6%



Equities 97.9%

	Percent	Prior Period	Current Period
Money Markets	0.0 %	\$10,979.73	\$0.00
Bank Deposits	1.6	\$0.00	\$12,211.65
Equities	97.9	\$741,570.78	\$754,973.90
Fixed Income	0.5	\$6,820.00	\$3,720.00
TOTAL	100.0 %	\$759,370.51	\$770,905.55

Account Allocation shows the percentage that each asset class represents of your total account value. Account Allocation for equities, fixed income, and other categories may include mutual funds and may be net of short positions. NFS has made assumptions concerning how certain mutual funds are allocated. Closed-end mutual funds and Exchange Traded Products (ETPs) listed on an exchange may be included in the equity allocation. The chart may not reflect your actual portfolio allocation. Consult your broker/dealer prior to making investment decisions.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
ALFRED TOSI JR LIVING TRUST - Trust: Under Agreement
Account Number: RQV-003671



Account Overview *continued*

REALIZED GAIN (LOSS)	Current Period	Year-to-Date
Short Term Gain	\$0.00	\$0.00
Short Term Loss	\$0.00	\$1.34
Disallowed Short Term Loss	\$0.00	\$0.00
TOTAL SHORT TERM GAIN (LOSS)	\$0.00	(\$1.34)
Long Term Gain	\$0.00	\$0.00
Long Term Loss	\$0.00	\$0.00
Disallowed Long Term Loss	\$0.00	\$0.00
TOTAL LONG TERM GAIN (LOSS)	\$0.00	\$0.00

NFS-provided cost basis, realized gain (loss) and holding period information may not reflect all adjustments necessary for your tax reporting purposes. Please refer to Footnotes and Cost Basis information at the end of this statement for more information.

MESSAGES AND ALERTS

DRS - Direct Registration System Transfer Agent Fee Effective May 1, 2014, three transfer agents, Computershare, Wells Fargo, and Registrar and Transfer Company are implementing a \$15 transfer fee for each position moved into your brokerage account via book entry Direct Registration System - DRS. If the fee is charged by the agent, NFS will pass through the charge to the account. As a reminder, there is already an existing fee charged to accounts for outgoing DRS transfers. Please contact your Financial Advisor if you have any questions regarding this fee.

Beginning in January 2019, National Financial Services will enhance the end-investor statement with the following changes. Payee details will be displayed within Activity Sections Description field for transactions that have associated Payee information. A summary level total of Short Dividends charged will be reported within the Account Overview section. Change in Value of Your Portfolio graph will show minimum and maximum scaling on the Y axis, include Negative values and, use clearer data points for information displayed.

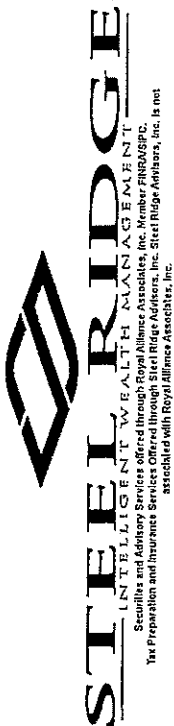
National Financial Services LLC NFS is required by the Securities Exchange Act of 1934 to provide certain financial information from its Statement of Financial Condition. At December 31, 2018, NFS, an affiliate of Fidelity Brokerage Services LLC, had net capital of \$4,012 million, which was 13.67 percent of aggregate debit items and exceeded its minimum requirement by \$3,425 million. To acquire the Statement of Financial Condition, log on to www.nybrokerageinfo.com. If you wish to obtain a copy of this document at no cost, please call 800-439-5627.

Royal Alliance Associates, Inc.

MN_CEBGWBCPEBDDPXL_M_BBBB 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
ALFRED TOSI JR LIVING TRUST - Trust: Under Agreement
Account Number: RQV-003671



Holdings

NFS-provided cost basis, realized gain (loss) and holding period information may not reflect all adjustments necessary for tax purposes. Please refer to Footnotes and Cost Basis Information at the end of this statement for more information.

For additional information regarding your holdings, please refer to the footnotes at the end of the Statement.

CASH AND CASH EQUIVALENTS - 1.58% of Total Account Value

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income
Bank Deposits					
Bank deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). Funds used to purchase or sweep to a bank deposit are SIPC protected until deposited to a Program Bank at which time funds may be eligible for FDIC insurance. Customers are responsible for monitoring their total deposits at each Program Bank to determine the extent of available FDIC insurance. Refer to the Bank Deposit Detail section which appears later in this statement for information on the banks holding your deposits. If your account was established on the last business day of this month, your statement will not include a Bank Deposit Detail section.					
ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED)	QAGCQ CASH	12,211.65	\$1.00	\$12,211.65	
Estimated Annual Yield	0.19%				
Total Cash and Cash Equivalents				\$12,211.65	

HOLDINGS > EQUITIES - 97.94% of Total Account Value

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
Equity							
AMERICAN EXPRESS CO COM USD0.20	AXP CASH	100	\$109.30	\$10,930.00	\$156.00	\$9,554.00	\$5,376.00
Estimated Yield	1.42%						
Dividend Option Cash							
Capital Gain Option Cash							
Next Dividend Payable: 05/10/19							
Average Unit Cost	\$55.54						
AT&T INC COM USD1	T CASH	6,660	\$31.36	\$208,857.60	\$13,586.40		
Estimated Yield	6.50%						
Dividend Option Cash							
Capital Gain Option Cash							

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDPXLMB_BBBB 20190329

Account carried with National Financial Services LLC, Member NYSE, SIPC

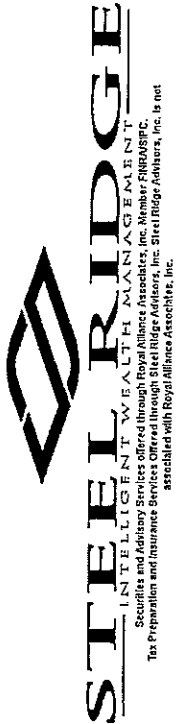
Statement for the Period March 1, 2019 to March 31, 2019
ALFRED TOSI JR LIVING TRUST - Trust: Under Agreement
Account Number: RQV-003671



HOLDINGS > EQUITIES *continued*

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
CHEMOURS CO COM	CC CASH	40	\$37.16	\$1,486.40	\$36.80	\$415.93 T	\$1,070.47
Estimated Yield 2.47%							
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost \$10.40							
CISCO SYS INC COM	CSCO CASH	950	\$53.99	\$51,290.50	\$1,330.00	\$22,677.47 T	\$28,613.03
Estimated Yield 2.59%							
Dividend Option Cash							
Capital Gain Option Cash							
Next Dividend Payable: 04/24/19							
Average Unit Cost \$23.87							
CITIGROUP INC COM NEW	C CASH	100	\$62.22	\$6,222.00	\$180.00	\$3,190.00 T	\$3,032.00
Estimated Yield 2.89%							
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost \$31.90							
COCA COLA CO	KO CASH	400	\$46.86	\$18,744.00	\$640.00	\$8,083.50 T	\$10,000.50
Estimated Yield 3.41%							
Dividend Option Cash							
Capital Gain Option Cash							
Next Dividend Payable: 04/01/19							
Average Unit Cost \$21.71							
COHEN & STEERS REIT & PFD & INM COM	RNP CASH	500	\$20.60	\$10,300.00	\$744.00	\$5,609.95 T	\$4,690.05
Estimated Yield 7.22%							
Dividend Option Cash							
Capital Gain Option Cash							
Next Dividend Payable: 04/30/19							
Average Unit Cost \$11.22							
COMCAST CORP NEW CL A	CMCSA CASH	1,958	\$39.98	\$78,280.84	\$1,644.72		
Estimated Yield 2.10%							
Dividend Option Cash							
Capital Gain Option Cash							
Next Dividend Payable: 04/24/19							
DISNEY WALT CO	DIS CASH	150	\$111.03	\$16,654.50	\$264.00		
Estimated Yield 1.58%							
Dividend Option Cash							

Statement for the Period March 1, 2019 to March 31, 2019
ALFRED TOSI JR LIVING TRUST - Trust: Under Agreement
Account Number: RQV-003671



HOLDINGS > EQUITIES *continued*

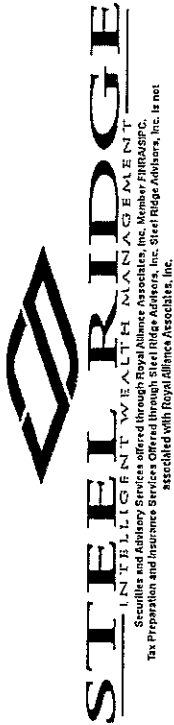
Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
DISNEY WALT CO	DIS	<i>continued</i>					
Capital Gain Option Cash							
DOWDUPONT INC COM	DWDP CASH	256	\$53.31	\$13,647.36	\$389.12	\$7,725.93 T	\$5,921.43
Estimated Yield 2.85%							
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost \$30.18							
FRONTIER COMMUNICATIONS CORP COM NEW	FTR	38	\$1.99	\$75.62		T	\$75.62
Dividend Option Cash	CASH						
Capital Gain Option Cash							
GENERAL ELECTRIC CO COM USD0.06	GE	2,000	\$9.99	\$19,980.00	\$80.00	\$27,962.00	(\$7,982.00)
Estimated Yield 0.40%	CASH						
Dividend Option Cash							
Capital Gain Option Cash							
Next Dividend Payable: 04/25/19							
Average Unit Cost \$13.98							
INTERNATIONAL BUS MACH CORP COM USD0.20	IBM	224	\$141.10	\$31,606.40	\$1,406.72	\$18,808.08 T	\$12,998.32
Estimated Yield 4.45%	CASH						
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost \$83.07							
JOHNSON & JOHNSON COM USD1.00	JNJ	200	\$139.79	\$27,958.00	\$720.00	\$10,866.01 T	\$17,091.99
Estimated Yield 2.57%	CASH						
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost \$54.33							
JPMORGAN CHASE & CO. COM USD1.00	JPM	300	\$101.23	\$30,369.00	\$960.00	\$9,239.51 T	\$21,129.49
Estimated Yield 3.16%	CASH						
Dividend Option Cash							
Capital Gain Option Cash							
Next Dividend Payable: 04/30/19							
Average Unit Cost \$30.80							
MCDONALDS CORP	MCD	100	\$189.90	\$18,990.00	\$464.00	\$18,258.62	\$731.38
Estimated Yield 2.44%	CASH						
Dividend Option Cash							
Capital Gain Option Cash							

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEBGWBCPBBDPXLMBBBB 20190329

Statement for the Period March 1, 2019 to March 31, 2019
ALFRED TOSI JR LIVING TRUST - Trust: Under Agreement
Account Number: RQV-003671



HOLDINGS > EQUITIES *continued*

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
MCDONALDS CORP	MCD	<i>continued</i>					
Average Unit Cost			\$182.59				
MICROSOFT CORP	MSFT	270	\$117.94	\$31,843.80	\$496.80	\$7,073.06 T	\$24,769.94
Estimated Yield 1.56%	CASH						
Dividend Option Cash							
Capital Gain Option Cash							
Next Dividend Payable: 06/13/19							
Average Unit Cost			\$26.20				
PFIZER INC	PFE	790	\$42.47	\$33,551.30	\$1,137.60	\$23,675.36 T	\$9,875.94
Estimated Yield 3.39%	CASH						
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost			\$29.97				
VERIZON COMMUNICATIONS	VZ	2,426	\$59.13	\$143,449.38	\$5,846.66		
Estimated Yield 4.07%	CASH						
Dividend Option Cash							
Capital Gain Option Cash							
Next Dividend Payable: 05/01/19							
WABTEC CORP COM USD0.01	WAB	10	\$73.72	\$737.20	\$4.80	\$739.60	(\$2.40)
Estimated Yield 0.65%	CASH						
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost			\$73.96				
Total Equity				\$754,973.90	\$30,087.62	\$170,279.82	\$137,451.76
Total Equities				\$754,973.90	\$30,087.62	\$170,279.82	\$137,451.76

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEBGWBCBDDPXLMM_BBBB 20190329

Statement for the Period March 1, 2019 to March 31, 2019
ALFRED TOSI JR LIVING TRUST - Trust: Under Agreement
Account Number: RQV-003671



HOLDINGS > FIXED INCOME - 0.48% of Total Account Value

For an explanation of fixed income pricing, please see the last page. Redemption schedule(s), bond rating(s), and other information are provided where available. If information does not appear regarding a particular investment, it is not available. The ratings on this statement are provided by Standard & Poor's and/or Moody's to rate the quality based on the respective rating agency's assessment. Ratings information from Standard & Poor's ("S&P") may not be reproduced. S&P credit ratings are statements of opinion and are not statements of fact or recommendations to purchase, hold, or sell securities, nor do they address the suitability of securities for investment purposes, and should not be relied on as investment advice. S&P does not guarantee the accuracy, completeness, timeliness or availability of any information, including ratings, and is not responsible for errors or omissions (negligent or otherwise). S&P gives no express or implied warranties, including but not limited to any warranties of merchantability or fitness for a particular purpose or use. S&P shall not be liable for any direct, indirect, incidental, exemplary, compensatory, punitive, special or consequential damages, costs, expenses, legal fees, or losses (including lost income or profits and opportunity costs) in connection with any use of ratings.

Description	Symbol/Cusip Account Type	Quantity	Estimated Price on 03/31/19	Estimated Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
Corporate Bonds							
SEARS HLDGS CORP NOTE CALL MAKE WHOLE 6.62500% 10/15/2018 MOODY'S WR CPN PMT SEMI-ANNUAL ON OCT 15, APR 15 CONTINUOUSLY CALLABLE IN MONETARY DEFAULT Average Unit Cost \$98.77 Adjusted Cost Basis	812350ME6 CASH	31,000	\$12.00	\$3,720.00		\$30,619.50	
Total Fixed Income		31,000		\$3,720.00		\$30,619.50 D	(\$26,899.50)
Total Securities				\$758,693.90	\$30,087.62	\$200,899.32	\$110,552.26
TOTAL PORTFOLIO VALUE				\$770,905.55	\$30,087.62	\$200,899.32	\$110,552.26

Activity

NES-provided cost basis, realized gain (loss) and holding period information may not reflect all adjustments necessary for tax purposes. Please refer to Footnotes and Cost Basis Information at the end of this statement for more information.

PURCHASES, SALES, AND REDEMPTIONS

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
--------------------	-----------------	-------------	-------------	----------	--------

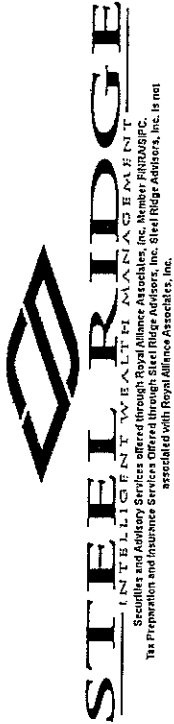
Securities Sold

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

TMN_CEBGWBCPBDDPXLN_B3BBB 20190329

Statement for the Period March 1, 2019 to March 31, 2019
ALFRED TOSI JR LIVING TRUST - Trust: Under Agreement
Account Number: RQV-003671



PURCHASES, SALES, AND REDEMPTIONS *continued*

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
03/11/19	CASH	YOU SOLD	FIDELITY GOVT MMKT CAPITAL RESERVES CL FZAXX TO QAGCQ	(11,264.13)	\$11,264.13
Total Securities Sold					\$11,264.13

ACTIVITY > CORE FUND ACTIVITY

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
03/01/19	CASH	YOU BOUGHT	FIDELITY GOVT MMKT CAPITAL RESERVES CL @ 1	284.4	(\$284.40)
03/11/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) @ 1	351.68	(\$351.60)
03/11/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) QAGCQ IS LIQUID	11,264.13	(\$11,264.13)
03/12/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) @ 1	180	(\$180.00)
03/14/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) @ 1	124.2	(\$124.20)
03/15/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) @ 1	223.28	(\$223.28)
03/29/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) @ 1	67.11	(\$67.11)
03/29/19	CASH	REINVESTMENT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) NET INT REINVEST	1.25	(\$1.25)
TOTAL CORE FUND ACTIVITY					(\$12,496.05)

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDPXLMBBBB 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
ALFRED TOSI JR LIVING TRUST - Trust Under Agreement
Account Number: RQV-003671



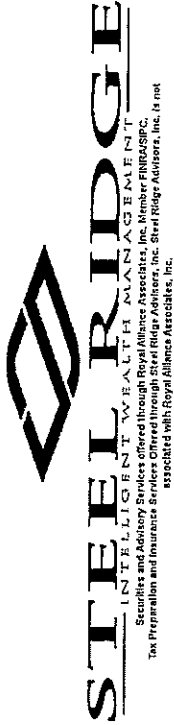
ACTIVITY > INCOME > TAXABLE INCOME

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
Taxable Dividends					
03/01/19	CASH	DIVIDEND RECEIVED	PFIZER INC		\$284.40
03/09/19	CASH	DIVIDEND RECEIVED	INTERNATIONAL BUS MACH CORP COM USD0.20		\$351.68
03/12/19	CASH	DIVIDEND RECEIVED	JOHNSON & JOHNSON COM USD1.00		\$180.00
03/14/19	CASH	DIVIDEND RECEIVED	MICROSOFT CORP		\$124.20
03/15/19	CASH	DIVIDEND RECEIVED	CHEMOURS CO COM		\$10.00
03/15/19	CASH	DIVIDEND RECEIVED	DOWDUPONT INC COM		\$97.28
03/15/19	CASH	DIVIDEND RECEIVED	MCDONALDS CORP		\$116.00
03/29/19	CASH	DIVIDEND RECEIVED	COHEN & STEERS REIT & PFD & INM COM		\$62.00
03/29/19	CASH	DIVIDEND RECEIVED	FIDELITY GOVT MMKT CAPITAL RESERVES CL DIVIDEND RECEIVED		\$5.11
Total Taxable Dividends					\$1,230.67
Taxable Interest					
03/29/19	CASH	INTEREST RECEIVED	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED)		\$1.25
Total Taxable Interest					\$1.25
Total Taxable Income					\$1,231.92
TOTAL INCOME					\$1,231.92

ACTIVITY > PENDING DISTRIBUTIONS

Pending dividends and stock distributions reflect projected values only, are subject to change and may not represent the actual amount, if any, that you may receive. This information is provided for informational purposes only and should not be relied on for tax reporting or other purposes.

Statement for the Period March 1, 2019 to March 31, 2019
ALFRED TOSI JR LIVING TRUST - Trust: Under Agreement
Account Number: RQV-003671



Symbol/Cusip	Security Description	Eligible Quantity	Rate	Payment Amount
Pending Accrued Dividends				
GE	GENERAL ELECTRIC CO COM USD0.06	2,000	\$0.01	\$20.00
KO	COCA COLA CO	400	\$0.40	\$160.00
Total Pending Accrued Dividends				\$180.00

ACTIVITY > BANK DEPOSIT DETAIL

Bank deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). Customers are responsible for monitoring their total deposits at each Program Bank to determine the extent of available FDIC insurance. Your Ending Balance at each Program Bank as of the end of this statement period is shown below. If you participate in a Bank Deposit Sweep Program and also hold a Bank Deposit Direct Investment, the Bank Deposit Detail section lists banks and ending balances for both programs. Funds pending settlement reflect deposits to (credit) or withdrawals from (debit) a Program Bank. Subject to the terms of the applicable bank deposit disclosure, customers are reminded that funds are deposited to a Program Bank on the business day following the date that funds are credited to your account and until swept to a Program Bank, funds are covered by SIPC.

Bank	Beginning Balance	Ending Balance
TCF National Bank	\$0.00	\$12,144.54
Current Month's Pending Settlement		\$67.11
Total Bank Deposits	\$0.00	\$12,211.65

Footnotes and Cost Basis Information

Amortization, accretion and similar adjustments to cost basis have been provided for many fixed income securities (and some bond-like equities), however, they are not provided for certain types, such as short-term instruments, Unit Investment Trusts, foreign fixed income securities, or those that are subject to early prepayment of principal (pay downs). Where current year premium or acquisition premium amortization is provided, the prior years' cumulative amortization is reflected in the adjusted cost basis, but we cannot provide a breakdown or the total of such prior amortization amounts.

NFS is required to report certain cost basis and related information to the IRS on the Form 1099-B. Your official 1099-B forms for certain transactions will reflect which lots have been sold for tax purposes. To apply a specific identification cost basis method to 1099-B reporting, appropriate instructions must be on file with NFS or be received by NFS before the trade has settled. Absent such instructions, NFS determines cost basis at the time of sale based on its default methods of average cost for open-end mutual funds and first-in, first-out (FIFO) for all other (including ETFs) unless your broker dealer has elected to use another default method. NFS applies FIFO (or other disposal method, if applicable) based on its records, which may be different from yours. For transactions that are not subject to 1099-B cost basis reporting, you should refer to your trade confirmations and other applicable records to determine which lots were considered sold for tax purposes.

While NFS must meet IRS requirements with respect to certain information required to be reported to the IRS, NFS-provided cost basis, realized gain and loss, and holding period information may not reflect all adjustments necessary for your tax reporting purposes. NFS makes no warranties with respect to and specifically disclaims any liability arising out of a customer's use of, or any tax position taken in reliance upon, such information.

For investments in partnerships, NFS does not make any adjustments to cost basis information as the calculation of basis in such investments requires supplemental information from the partnership on its income and distributions during the period you held your investment. Partnerships usually provide this additional information on a Form K-1 issued by April 15th of the following year.

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEBGWBCPBBDPXLAM_BBBB 20190329

Statement for the Period March 1, 2019 to March 31, 2019
ALFRED TOSI JR LIVING TRUST - Trust: Under Agreement
Account Number: RQV-003671



Footnotes and Cost Basis Information *continued*

Consult your tax advisor for further information.

T - Cost basis information was provided by a third party. We treat it as original cost basis, as of the date it is provided, and we assume that for equities, it reflects any prior corporate actions, and for asset-backed fixed income securities, it reflects any prior principal pay downs. D - Adjusted cost basis reflects any cumulative original issue discount, premium, or acquisition premium, and it assumes such amounts were amortized by the taxpayer over the life of the security from acquisition date through disposition date. For securities still held, maturity date was used instead of disposition date. Premium amortization was calculated using the yield-to-maturity method. Acquisition premium was calculated using the ratable accrual method. If applicable, adjusted cost basis reflects market discount accretion which was calculated using the straight-line method and was recognized at disposition date. Gain/loss displayed for this transaction was based on cost basis as adjusted for premium and discount as stated above and does not reflect any losses disallowed because of wash sales (if applicable). The adjusted cost basis may not reflect all adjustments necessary for tax reporting purposes and may also not apply if you are using an alternative amortization calculation method. Refer to IRS Publication 550, Investment Income and Expenses, for additional information.

If a sale, redemption or other disposition involved multiple tax lots, the transaction's totals may have been calculated using a combination of adjusted and unadjusted cost basis information. For lots where adjusted cost basis and its associated gain/loss are known, that was used, otherwise "regular" unadjusted cost basis and its associated gain/loss was used.

Miscellaneous Footnotes

CHANGE IN VALUE OF YOUR PORTFOLIO is the change in market value of your portfolio assets over the time period shown. The portfolio assets include the market value of all the securities in the account, plus insurance and annuity assets if applicable. The time frame of the graph is from account opening or September 2011, whichever is later, to the current period. Please note that large increases and/or declines in the value of the portfolio can be due to additions, distribution and/or performance.

CHANGE IN VALUE reflects appreciation or depreciation of your holdings due to price changes plus any activity not reflected within Additions and Withdrawals, Income, Taxes, Fees and Expenses, and Other Activity sections. Change in Value does not reflect activity related to assets in which NFS is not the custodian (e.g. Insurance and Annuities, Assets Held Away and Other Assets Held Away).

CALLABLE SECURITIES LOTTERY - When street name or bearer securities held for you are subject to a partial call or partial redemption by the issuer, NFS may or may not receive an allocation of called/redemmed securities by the issuer, transfer agent and/or depository. If NFS is allocated a portion of the called/redemmed securities, NFS utilizes an impartial lottery allocation system, in accordance with applicable rules, that randomly selects the securities within customer accounts that will be called/redemmed. NFS' allocations are not made on a pro rata basis and it is possible for you to receive a full or partial allocation, or no allocation. You have the right to withdraw uncalled fully paid securities at any time prior to the cutoff date and time established by the issuer, transfer agent and/or depository with respect to the partial call, and also to withdraw excess margin securities provided your account is not subject to restriction under Regulation T or such withdrawal will not cause an undermargined condition.

PRICING INFORMATION - Prices displayed are obtained from sources that may include pricing vendors, broker/dealers who clear through NFS and/or other sources. Prices may not reflect current fair market value and/or may not be readily marketable or redeemable at the prices shown.

FOREIGN EXCHANGE TRANSACTIONS - Some transaction types necessitate a foreign currency exchange (FX) in order to settle. FX transactions may be effected by Fidelity Forex, Inc. on a principal basis. Fidelity Forex, Inc., an affiliate of NFS, may impose a commission or markup on the prevailing interbank market price, which may result in a higher price to you. Fidelity Forex, Inc. may share a portion of any FX commission or markup with NFS. More favorable rates may be available through third parties not affiliated with NFS. The rate applicable to any transaction involving an FX is available upon request through your broker-dealer.

COST BASIS LEGISLATION - New IRS Rules will require National Financial Services to report cost basis and holding period information for the sale of shares of open end Mutual Fund holdings purchased on or after January 1, 2012 on Form 1099-B. National Financial Services determines the cost basis for all shares of open end mutual funds using a default method of average cost. Alternatively, account owners or their brokers and advisors can instruct National Financial Services to determine the cost basis for shares of open end mutual funds by 1) setting up their non-retirement accounts with one of our eleven tax lot disposal methods available to investors or 2) identifying specific tax lots to sell at the time of a transaction. Contact your broker or advisor to learn more about the cost basis tracking of your holdings.

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEBGWBCPBBDPXL_M_BBBB 20190329

GLOSSARY Short Account Balances-If you have sold securities under the short sale rule, we have, in accordance with regulations, segregated the proceeds from such transactions in your Short Account. Any market increases or decreases from the original sale price will be marked to the market and will be transferred to your Margin Account on a weekly basis. **Market Value** - The Total Market Value has been calculated out to 9 decimal places. However, the individual unit price is displayed in 5 decimal places. The Total Market Value represents prices obtained from various sources, may be impacted by the frequency in which such prices are reported and such prices are not guaranteed. Prices received from pricing vendors are generally based on current market quotes, but when such quotes are not available the pricing vendors use a variety of techniques to estimate value. These estimates, particularly for fixed income securities, may be based on certain minimum principal amounts (e.g. \$1 million) and may not reflect all of the factors that affect the value of the security, including liquidity risk. The prices provided are not firm bids or offers. Certain securities may reflect "N/A" or "unavailable" where the price for such security is generally not available from a pricing source. The Market Value of a security, including those priced at par value, may differ from its purchase price and may not

CUSTOMER SERVICE: Please review your statement and report any inaccuracy or discrepancy immediately by calling the telephone number of your broker-dealer reflected on the front of this statement. Reports of any inaccuracy or discrepancy regarding your brokerage account or the activity therein should be directed to your broker-dealer at the telephone number and address reflected on the front of this statement and National Financial Services LLC ("NFS").

NFS carries your brokerage account and acts as your custodian for funds and securities that are deposited with NFS by you or your broker-dealer. In addition to your initial contact with your broker-dealer you may contact NFS at (800) 807-9942. Any oral communications regarding inaccuracies or discrepancies should be reconfirmed in writing to protect your rights, including those under the Securities Investor Protection Act ("SIPA"). When contacting either your broker-dealer or NFS, remember to include your entire brokerage account number to ensure a prompt reply.

ADDITIONAL INFORMATION Free credit balances ("FCB") are funds payable to you on demand. FCB are subject to open commitments such as uncleared checks and exclude proceeds from sales of certificated securities without delivery of the certificate. If your FCB is swept to a core position, you can liquidate the core position and have the proceeds sent to you or held in your account subject to the terms of your account agreement. Required rule 10b-10(a) information not contained herein will be provided on written request. Fidelity may use this free credit balance in connection with its business, subject to applicable law.

Credit Adjustment Program. Accountholders receiving payments in lieu of qualified dividends may not be eligible to receive credit adjustments intended to help cover additional associated federal tax burdens. NFS reserves the right to deny the adjustment to any account holder and to amend or terminate the credit adjustment program.

Options Customers. Each transaction confirmation previously delivered to you contains full information about commissions and other charges. If you require further information, please contact your broker-dealer.

Assignments of American and European-style options are allocated among customer short positions pursuant to a random allocation procedure, a description of which is available upon request. Short positions in

American-style options are liable for assignment at any time. The writer of a European-style option is subject to exercise assignment only during the exercise period. You should advise your broker-dealer promptly of any material change in your investment objectives or financial situation. **Splits, Dividends, and Interest.** Expedited stock split, next dividend payable, and next interest payable information has been provided by third parties and may be subject to change. Information for certain securities may be missing if not received from third parties in time for printing. NFS is not responsible for inaccurate, incomplete, or missing information. Please consult your broker-dealer for more information about expected stock split, next dividend payable, and next interest payable for certain securities.

Equity Dividend Reinvestment Customers. Shares credited to your brokerage account resulted from transactions effected as agent by either: 1) Your broker-dealer for your investment account, or 2) through the Depository Trust Company (DTC) dividend reinvestment program. For broker-dealer effected transactions, the time of the transactions, the exchange upon which these transactions occurred and the name of the person from whom the security was purchased will be furnished upon written request. NFS may have acted as market maker in effecting trades in "over-the-counter" securities.

Retirement Contributions/Distributions. A summary of retirement contributions/distributions is displayed for you in the activity summary section of your statement. **Income Reporting.** NFS reports earnings from investments in Traditional IRAs, Rollover IRAs, SEP-IRAs and Keoghs as tax-deferred income. Earnings from Roth IRAs are reported as tax-free income, since distributions may be tax-free after meeting the 5 year aging requirement and certain other conditions. A financial statement of NFS is available for your personal inspection at its office or a copy of it will be mailed to you upon your written request.

Statement Mailing. NFS will deliver statements by mail or, if applicable, notify you by e-mail of your statement's availability, if you had transactions that affected your cash balances or security positions held in your account(s) during the last monthly reporting period. At a minimum, all brokerage customers will receive quarterly statements (at least four times per calendar year) as long as their accounts contain a cash or securities balance.

Loads and Fees. In connection with (i) access to, purchase or redemption of, and/or maintenance of positions in mutual funds and other investment products ("funds") or (ii) infrastructure needed to support such funds, some funds, or their investment affiliates, pay your introducing broker dealer and/or NFS sales loads and 12b-1 fees

Royal Alliance Associates, Inc.

MN_CEBGWBCPBDPXL_M_BBBB 20190329

closely reflect the value at which the security may be sold or purchased based on various market factors. Investment decisions should be made only after consulting your broker-dealer.

Estimated Annual Income (EAI) & Estimated Yield (EY) - EAI for fixed income is calculated using the coupon rate. For all other securities, EAI is calculated using an indicated annual dividend (IAD). The IAD is an estimate of a security's dividend payments for the next 12 months calculated based on prior and/or declared dividends for that security. EY reflects only the income generated by an investment and not changes in its price which may fluctuate. Interest and dividend rates are subject to change at any time and may be affected by current and future economic, political and business conditions. EAI and EY are estimates only and may include return of principal and/or capital gains, which would render them overstated. EAI and EY are provided for informational purposes only and should not be used or relied on for making investment, trading or tax decisions. EAI and EY are based on data obtained from information providers believed to be reliable, but no assurance can be made as to accuracy, timeliness or completeness.

described in the prospectus as well as additional compensation for shareholder services, start-up fees, infrastructure support and maintenance, and other programs. Additional information about the source(s) and amount(s) of compensation as well as other remuneration received by your introducing broker dealer and/or NFS will be furnished to you upon written request. At time of purchase fund shares may be assigned a load, transaction fee or no transaction fee status. At time of sale, any fees applicable to your transaction will be assessed based on the status assigned to the shares at time of purchase. **Margin.** If you have applied for margin privileges and been approved, you may borrow money from NFS in exchange for pledging the assets in your account as collateral for any outstanding margin loan. The amount you may borrow is based on the value of securities in your margin account, which is identified on your statement. If you have a margin account, this is a combined statement of your margin account and special memorandum account other than your non-purpose margin accounts maintained for you under Section 220.5 of Regulation T issued by the Board of Governors of the Federal Reserve Board. The permanent record of the separate accounts, as required by Regulation T, is available for your inspection upon request. **NYSE and FINRA.** All transactions are subject to the constitution, rules, regulations, customs, usages, rulings and interpretations of the exchange market and its clearing house, if any, where the transactions are executed, and of the New York Stock Exchange (NYSE) and of the Financial Industry Regulatory Authority ("FINRA"). The FINRA requires that we notify you in writing of the availability of an investor brochure that includes information describing FINRA Regulation's BrokerCheck Program ("Program"). To obtain a

brochure or more information about the Program or FINRA Regulation, contact the FINRA Regulation BrokerCheck Program Hotline at (800) 289-9999 or access the FINRA's web site at www.finra.org. **FINRA Rule 4311** requires that your broker-dealer and NFS allocate between them certain functions regarding the administration of your brokerage account. The following is a summary of the allocation services performed by your broker-dealer and NFS. A more complete description is available upon request. **Your broker-dealer is responsible for:** (1) obtaining and verifying brokerage account information and documentation, (2) opening, approving and monitoring your brokerage account, (3) transmitting timely and accurate orders and other instructions to NFS with respect to your brokerage account, (4) determining the suitability of investment recommendations and advice, (5) operating, and supervising your brokerage account and its own activities in compliance with applicable laws and regulations including compliance with margin rules pertaining to your margin account, if applicable, and (6) maintaining required books and records for the services that it performs. **NFS**

shall, at the direction of your broker-dealer: (1) execute, clear and settle transactions processed through NFS by your broker-dealer, (2) prepare and send transaction confirmations and periodic statements of your brokerage account (unless your broker-dealer has undertaken to do so). Certain securities pricing and descriptive information may be provided by your broker-dealer or obtained from third parties deemed to be reliable, however, this information has not been verified by NFS. (3) act as custodian for funds and securities received by NFS on your behalf, (4) follow the instructions of your broker-dealer with respect to transactions and the receipt and delivery of funds and securities for your brokerage account, and (5) extend margin credit for purchasing or carrying securities on margin. Your broker-dealer is responsible for ensuring that your brokerage account is in compliance with federal, industry and NFS margin rules, and for advising you of margin requirements. NFS shall maintain the required books and records for the services it performs. **Securities in accounts carried by NFS**

are protected in accordance with the Securities Investor Protection Corporation ("SIPC") up to \$500,000. The \$500,000 total amount of SIPC protection is inclusive of up to \$250,000 protection for claims for cash, subject to periodic adjustments for inflation in accordance with terms of the SIPC statute and approval by SIPC's Board of Directors. NFS also has arranged for coverage above these limits. Neither coverage protects against a decline in the market value of securities, nor does either coverage extend to certain securities that are considered ineligible for coverage. For more details on SIPC, or to request a SIPC brochure, visit www.sipc.org or call 1-202-371-8300. Funds used to purchase or sweep to a bank deposit are SIPC protected until deposited to a

Program Bank at which time funds may be eligible for FDIC insurance. Assets Held Away, commodities, unregistered investment contracts, futures accounts, loaned securities and other investments may not be covered. Precious metals are not covered by SIPC protection. Mutual funds and/or other securities are not backed or guaranteed by any bank, nor are they insured by the FDIC and involve investment risk including possible loss of principal.

End of Statement

722239.7.0

Account carried with National Financial Services LLC Member

NYSE, SIPC

This page is left intentionally blank

UNITED STATES BANKRUPTCY COURT
SOUTHERN DISTRICT OF NEW YORK

_____	X	
	:	Chapter 11
	:	
In Re	:	Case No. 18-23538 (RDD)

SEARS HOLDING CORPORATION, et al.,

Debtors

(Jointly Administered)

_____X

Response to objection by Sears Holding to Proofs of Claims (Reclassifying Claims)

Claim # 18441/USD 100,000.

Kevin Walsh
80 Newell Street
Brooklyn, NY 11222

Please do not allow Sears Corporation to (i)reclassify to general unsecured claims,
as I own second lien PIK notes and purchased these specifically based they were
secured bonds.



Scott M. Fitzgerald/Authorized Agent
President
Steel Ridge Advisors
1377 Motor Pkwy, Suite 204
Islandia, NY 11749
sfitzgerald@steelridgeadvisors.com
(631) 353-0003

11/8/2021

Contact 844.384.4460 Client Login



Sears Holdings Corporation (18-23538)

[CHANGE CASE](#)

[Case Info](#) [Docket](#) [Claims](#) [Submit a Claim](#) [Submit Inquiry](#)

[Search Docket](#) [Search Claim](#)

Schedule	Claim #	Filed Date	Creditor Name	Debtor Name	Claim Value
	18441#	04/10/2019	Walsh, Kevin	Sears Holdings Corporation	\$ 100,000.00

Creditor Data Details for Claim # 18441

Creditor
Walsh, Kevin

Date Filed
04/10/2019

Debtor Name
Sears Holdings Corporation
Schedule Number

Claim Number
18441

Proof of Claim
[View PDF](#) [Email PDF](#)

Select scope

Claim Number(s)(e.g. 1,3,5-7)

Schedule Number

Creditor name

Debtor(s)

Select Classification

Select Search Operator

Amount

Date from

Date to

-

[Search Claim](#)

[Reset](#)

	Schedule Amount 'C'UD'	Asserted Claim Amount 'C'UF'	Current Claim Status Claim Value
General Unsecured			
Priority			
Secured		\$100,000.00	\$100,000.00 Asserted
503(b)(9) Admin Priority			
Admin Priority			
Total	\$0.00	\$100,000.00	\$100,000.00

'C'=Contingent, U=Unliquidated, D=Disputed, F=Foreign

Prime Clerk maintains this website for the public's convenience and for general informational purposes only. Anyone using this website is cautioned NOT to rely on any information contained on this Website, and any user of this website should not take or refrain from taking any action based upon anything included or not included on this website. We are not a law firm or a substitute for

[Open in new window](#)

Page 1 of 1

20

View 1 - 1 of 1

[Home](#) [Leadership](#) [Disclaimer](#) [Terms & Conditions](#)

©2016 Prime Clerk. All rights reserved.

Contact \$44,384,460 Client Login



Sears Holdings Corporation (18-23538)

[CHANGE CASE](#)

Case Info Docket Claims Submit a Claim Submit Inquiry

Search Docket Search Claim

Schedule	Claim #	Filed Date	Creditor Name	Debtor Name	Claim Value
	18441	04/10/2019	Walsh, Kevin	Sears Holdings Corporation	\$ 100,000.00

Select scope

Claims Only

Claim Number(s)(e.g. 1,3,5-7)

18441

Schedule Number

Creditor name

Debtor(s)

Sears Holdings Corporation(18-23538)

Select Classification

Select an Option

Select Search Operator

Select an Option

Amount

Date from

Date to

Search Claim

[Reset](#)

Creditor Data Details for Claim # 18441

Creditor
Walsh, Kevin

Date Filed
04/10/2019

Debtor Name
Sears Holdings Corporation
Schedule Number

Claim Number
18441
Proof of Claim
[View PDF](#) [Email PDF](#)

Schedule	Amount C*UD*	Asserted Claim Amount C*UF*	Current Claim Status	Claim value
General Unsecured		\$100,000.00	\$100,000.00	Asserted
Priority				
Secured				
503(b)(9)-Admin Priority				
Admin Priority				
Total	\$0.00	\$100,000.00	\$100,000.00	

*C=Contingent, U=Unliquidated, D=Disputed, F=Foreign

Prime Clerk maintains this website for the public's convenience and for general informational purposes only. Anyone using this website is cautioned NOT to rely on any information contained on this Website, and any user of this website should not take or refrain from taking any action based upon anything included or not included on this website. We are not a law firm or a substitute for

[Open in new window](#)

Page 1 of 1

20

View 1 of 1

[Home](#) [Leadership](#) [Disclaimer](#) [Terms & Conditions](#)

©2016 Prime Clerk. All rights reserved.

Fill in this information to identify the case (Select only one Debtor per claim form):

<input checked="" type="checkbox"/> Sears Holdings Corporation (18-23538)	<input type="checkbox"/> Kmart Corporation (18-23549)	<input type="checkbox"/> Sears, Roebuck de Puerto Rico, Inc. (18-23561)	<input type="checkbox"/> MyGofer LLC (18-23573)	<input type="checkbox"/> Kmart.com LLC (18-23585)
<input type="checkbox"/> Sears, Roebuck and Co. (18-23537)	<input type="checkbox"/> MaxServ, Inc. (18-23550)	<input type="checkbox"/> SYW Relay LLC (18-23562)	<input type="checkbox"/> Sears Brands Business Unit Corporation (18-23574)	<input type="checkbox"/> Sears Brands Management Corporation (18-23586)
<input type="checkbox"/> Kmart Holding Corporation (18-23539)	<input type="checkbox"/> Private Brands, Ltd. (18-23551)	<input type="checkbox"/> Wally Labs LLC (18-23563)	<input type="checkbox"/> Sears Holdings Publishing Company, LLC (18-23575)	<input type="checkbox"/> SHC Licensed Business LLC (18-23616)
<input type="checkbox"/> Kmart Operations LLC (18-23540)	<input type="checkbox"/> Sears Development Co. (18-23552)	<input type="checkbox"/> Big Beaver of Florida Development, LLC (18-23564)	<input type="checkbox"/> Kmart of Michigan, Inc. (18-23576)	<input type="checkbox"/> SHC Promotions LLC (18-23630)
<input type="checkbox"/> Sears Operations LLC (18-23541)	<input type="checkbox"/> Sears Holdings Management Corporation (18-23553)	<input type="checkbox"/> California Builder Appliances, Inc. (18-23565)	<input type="checkbox"/> SHC Desert Springs, LLC (18-23577)	<input type="checkbox"/> SRe Holding Corporation (19-22301)
<input type="checkbox"/> ServiceLive, Inc. (18-23542)	<input type="checkbox"/> Sears Home & Business Franchises, Inc. (18-23554)	<input type="checkbox"/> Florida Builder Appliances, Inc. (18-23566)	<input type="checkbox"/> SOE, Inc. (18-23578)	
<input type="checkbox"/> A&E Factory Service, LLC (18-23543)	<input type="checkbox"/> Sears Home Improvement Products, Inc. (18-23555)	<input type="checkbox"/> KBL Holding Inc. (18-23567)	<input type="checkbox"/> StarWest, LLC (18-23579)	
<input type="checkbox"/> A&E Home Delivery, LLC (18-23544)	<input type="checkbox"/> Sears Insurance Services, L.L.C. (18-23556)	<input type="checkbox"/> KLC, Inc. (18-23568)	<input type="checkbox"/> STI Merchandising, Inc. (18-23580)	
<input type="checkbox"/> A&E Lawn & Garden, LLC (18-23545)	<input type="checkbox"/> Sears Procurement Services, Inc. (18-23557)	<input type="checkbox"/> Sears Protection Company (Florida), L.L.C. (18-23569)	<input type="checkbox"/> Troy Coolidge No. 13, LLC (18-23581)	
<input type="checkbox"/> A&E Signature Service, LLC (18-23546)	<input type="checkbox"/> Sears Protection Company (18-23558)	<input type="checkbox"/> Kmart of Washington LLC (18-23570)	<input type="checkbox"/> BlueLight.com, Inc. (18-23582)	
<input type="checkbox"/> FBA Holdings Inc. (18-23547)	<input type="checkbox"/> Sears Protection Company (PR) Inc. (18-23559)	<input type="checkbox"/> Kmart Stores of Illinois LLC (18-23571)	<input type="checkbox"/> Sears Brands, L.L.C. (18-23583)	
<input type="checkbox"/> Innovel Solutions, Inc. (18-23548)	<input type="checkbox"/> Sears Roebuck Acceptance Corp. (18-23560)	<input type="checkbox"/> Kmart Stores of Texas LLC (18-23572)	<input type="checkbox"/> Sears Buying Services, Inc. (18-23584)	

Proof of Claim

04/16

Read the instructions before filling out this form. This form is for making a claim for payment in a bankruptcy case. Do not use this form to make a request for payment of an administrative expense, other than a claim entitled to administrative priority pursuant to 11 U.S.C. § 503(b)(9). Make such a request according to 11 U.S.C. § 503.

Filers must leave out or redact information that is entitled to privacy on this form or on any attached documents. Attach redacted copies of any documents that support the claim, such as promissory notes, purchase orders, invoices, itemized statements of running accounts, contracts, judgments, mortgages, and security agreements. Do not send original documents; they may be destroyed after scanning. If the documents are not available, explain in an attachment.

A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

Fill in all the information about the claim as of the date the case was filed. That date is on the notice of bankruptcy (Form 309) that you received.

Part 1: Identify the Claim

1. Who is the current creditor?	KEVIN WALSH Name of the current creditor (the person or entity to be paid for this claim) Other names the creditor used with the debtor _____	
2. Has this claim been acquired from someone else?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. From whom? _____	
3. Where should notices and payments to the creditor be sent? Federal Rule of Bankruptcy Procedure (FRBP) 2002(g)	Where should notices to the creditor be sent? 80 NEWELL STREET BROOKLYN, NY 11222 Contact phone <u>917-868-9239</u> Contact email <u>beauwalsh2003@yahoo.com</u>	Where should payments to the creditor be sent? (if different) NATIONAL FINANCIAL SERVICES C/O ROYAL ALLIANCE 10 EXCHANGE PLAZA SUITE 1410 JERSEY CITY, NJ 07302 RQV-003560 Contact phone <u>631-353-0003</u> Contact email <u>sfitzgerald@steelridgeadvisors.com</u>
4. Does this claim amend one already filed?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. Claim number on court claims registry (if known) _____ Filed on _____ MM / DD / YYYY	
5. Do you know if anyone else has filed a proof of claim for this claim?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. Who made the earlier filing? _____	

Part 2: Give Information About the Claim as of the Date the Case Was Filed

6. Do you have any number you use to identify the debtor? ☐ No ☒ Yes. Last 4 digits of the debtor's account or any number you use to identify the debtor: 2 9 2 5

7. How much is the claim? \$ 100,000.00 Does this amount include interest or other charges?
☒ No ☐ Yes. Attach statement itemizing interest, fees, expenses, or other charges required by Bankruptcy Rule 3001(c)(2)(A).

8. What is the basis of the claim? Examples: Goods sold, money loaned, lease, services performed, personal injury or wrongful death, or credit card.
Attach redacted copies of any documents supporting the claim required by Bankruptcy Rule 3001(c).
Limit disclosing information that is entitled to privacy, such as health care information.

9. Is all or part of the claim secured? ☐ No ☒ Yes. The claim is secured by a lien on property.

Nature of property:

☐ Real estate. If the claim is secured by the debtor's principal residence, file a *Mortgage Proof of Claim Attachment* (Official Form 410-A) with this *Proof of Claim*.

☐ Motor vehicle

☒ Other. Describe: SEARS HLDGS CORP. 6 5/8% SENIOR SECURED NOTE *Due 10/15/18*

Basis for perfection: _____

Attach redacted copies of documents, if any, that show evidence of perfection of a security interest (for example, a mortgage, lien, certificate of title, financing statement, or other document that shows the lien has been filed or recorded.)

Value of property: \$ _____

Amount of the claim that is secured: \$ _____

Amount of the claim that is unsecured: \$ _____ (The sum of the secured and unsecured amounts should match the amount in line 7.)

Amount necessary to cure any default as of the date of the petition: \$ _____

Annual Interest Rate (when case was filed) _____ %

☐ Fixed ☐ Variable

10. Is this claim based on a lease? ☒ No ☐ Yes. Amount necessary to cure any default as of the date of the petition. \$ _____

11. Is this claim subject to a right of setoff? ☒ No ☐ Yes. Identify the property: _____

12. Is all or part of the claim entitled to priority under 11 U.S.C. § 507(a)? ☒ No ☐ Yes. Check one:

A claim may be partly priority and partly nonpriority. For example, in some categories, the law limits the amount entitled to priority.

☐ Domestic support obligations (including alimony and child support) under 11 U.S.C. § 507(a)(1)(A) or (a)(1)(B). Amount entitled to priority \$ _____

☐ Up to \$2,850* of deposits toward purchase, lease, or rental of property or services for personal, family, or household use. 11 U.S.C. § 507(a)(7). \$ _____

☐ Wages, salaries, or commissions (up to \$12,850*) earned within 180 days before the bankruptcy petition is filed or the debtor's business ends, whichever is earlier. 11 U.S.C. § 507(a)(4). \$ _____

☐ Taxes or penalties owed to governmental units. 11 U.S.C. § 507(a)(8). \$ _____

☐ Contributions to an employee benefit plan. 11 U.S.C. § 507(a)(5). \$ _____

☐ Other. Specify subsection of 11 U.S.C. § 507(a)() that applies. \$ _____

* Amounts are subject to adjustment on 4/01/19 and every 3 years after that for cases begun on or after the date of adjustment.

13. Is all or part of the claim entitled to administrative priority pursuant to 11 U.S.C. § 503(b)(9)? ☒ No ☐ Yes. Indicate the amount of your claim arising from the value of any goods received by the Debtor within 20 days before the date of commencement of the above case, in which the goods have been sold to the Debtor in the ordinary course of such Debtor's business. Attach documentation supporting such claim. \$ _____

Part 3: Sign Below

The person completing this proof of claim must sign and date it. FRBP 9011(b).

If you file this claim electronically, FRBP 5005(a)(2) authorizes courts to establish local rules specifying what a signature is.

A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

Check the appropriate box:

☐ I am the creditor.

☒ I am the creditor's attorney or authorized agent.

☐ I am the trustee, or the debtor, or their authorized agent. Bankruptcy Rule 3004.

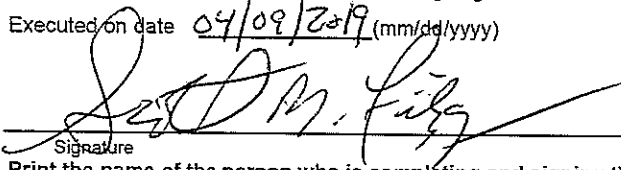
☐ I am a guarantor, surety, endorser, or other codebtor. Bankruptcy Rule 3005.

I understand that an authorized signature on this *Proof of Claim* serves as an acknowledgment that when calculating the amount of the claim, the creditor gave the debtor credit for any payments received toward the debt.

I have examined the information in this *Proof of Claim* and have a reasonable belief that the information is true and correct.

I declare under penalty of perjury that the foregoing is true and correct.

Executed on date 04/09/2019 (mm/dd/yyyy)


Signature

Print the name of the person who is completing and signing this claim:

Name of the person who is completing and signing this claim:

Name SCOTT M FITZGERALD

First name Middle name Last name

Title PRESIDENT

Company STEEL RIDGE ADVISORS

Identify the corporate servicer as the company if the authorized agent is a servicer.

Address 1377 MOTOR PKWY, SUITE 204

Number Street

ISLANDIA NY 11749

City State ZIP Code

Contact phone 631-353-0003 Email sfitzgerald@steelridgeadvisors.com

ENV# CEBGWBCPBBDPXJN_BBBBC
ROYAL ALLIANCE ASSOCIATES INC.
10 EXCHANGE PLACE, SUITE 1410
JERSEY CITY, NJ 07302

KEVIN WALSH
80 NEWELL STREET
BROOKLYN NY 11222



STATEMENT FOR THE PERIOD MARCH 1, 2019 TO MARCH 31, 2019

KEVIN WALSH - Individual
Account Number: RQV-003560

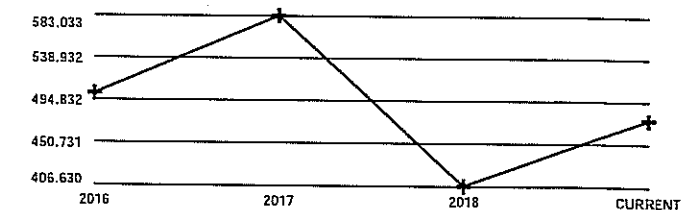
YOUR FINANCIAL ADVISOR IS:
SCOTT FITZGERALD
RR#: AZP

For questions about your accounts:
Local: 631 353 0003
In-State: 631 353 0003
National: 631 353 0003

TOTAL VALUE OF YOUR PORTFOLIO **\$476,470.47**
Your portfolio contains unpriced positions. Refer to Holdings in this statement for more information.

CHANGE IN VALUE OF YOUR PORTFOLIO

\$ thousands



Change In Value Of Your Portfolio information can be found in Miscellaneous Footnotes at the end of this statement.

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDPXJN_BBBBC 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019

KEVIN WALSH - Individual
Account Number: RQV-003560



Account Overview

CHANGE IN ACCOUNT VALUE	Current Period	Year-to-Date
BEGINNING VALUE	\$481,398.01	\$406,630.10
Additions and Withdrawals	(\$5,000.00)	(\$11,759.00)
Income	\$366.00	\$564.83
Taxes, Fees and Expenses	(\$59.50)	(\$96.89)
Change in Value	(\$254.04)	\$81,131.43
ENDING VALUE (AS OF 03/31/19)	\$476,470.47	\$476,470.47
Total Pending Accrued Dividends	\$6.98	
Ending Value with Accrued Dividends	\$476,477.45	

Refer to Miscellaneous Footnotes for more information on Change in Value.

Pending dividends and stock distributions reflect projected values only, are subject to change and may not represent the actual amount, if any, that you may receive. This information is provided for informational purposes only and should not be relied on for tax reporting or other purposes.

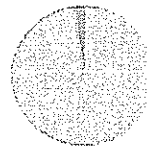
MARGIN PROFILE	as of March 31, 2019
Margin Positions Market Value	\$487,673.61
Margin Balance (Net currency credit/debit)	(\$11,203.17)
Margin Equity	\$476,470.44
Margin Equity Percent	97.7%
Equity Buying Power	\$689,750.54
Margin Interest Charged this Period	(\$59.50)

Balances and Margin availability are reflected as of the closing date of this statement. Please consult with your broker/dealer prior to trading as these amounts may have changed. Refer to Miscellaneous Footnotes at the end of this statement for more information.

Margin balance information reported in this section is based on trade date. Position and balance information reported elsewhere in this statement is based on settlement date.

ACCOUNT ALLOCATION

Fixed Income 2.5%



Equities 97.5%

	Percent	Prior Period	Current Period
Cash	0.0 %	(\$6,529.67)	(\$11,203.17)
Equities	97.5	\$465,927.68	\$475,673.64
Fixed Income	2.5	\$22,000.00	\$12,000.00
TOTAL	100.0 %	\$481,398.01	\$476,470.47

Cash and Cash Equivalents will include margin debit and credit balances.

Account Allocation shows the percentage that each asset class represents of your total account value. Account Allocation for equities, fixed income, and other categories may include mutual funds and may be net of short positions. NFS has made assumptions concerning how certain mutual funds are allocated. Closed-end mutual funds and Exchange Traded Products (ETPs) listed on an exchange may be included in the equity allocation. The chart may not reflect your actual portfolio allocation. Consult your broker/dealer prior to making investment decisions.

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBPXJN_BBBBC 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019

KEVIN WALSH - Individual
Account Number: RQV-003560



Account Overview *continued*

INCOME

TAXABLE	Current Period	Year-to-Date
Taxable Dividends	\$386.00	\$564.83
TOTAL TAXABLE	\$386.00	\$564.83
TOTAL INCOME	\$386.00	\$564.83

Taxable income is determined based on information available to NFS at the time the statement was prepared, and is subject to change. Final information on taxation of interest and dividends is available on Form 1099-Div, which is mailed in February of the subsequent year.

TAXES, FEES AND EXPENSES	Current Period	Year-to-Date
Margin Interest	(\$59.50)	(\$96.89)
TOTAL TAXES, FEES AND EXPENSES	(\$59.50)	(\$96.89)

REALIZED GAIN (LOSS)	Current Period	Year-to-Date
Short Term Gain	\$0.00	\$0.00
Short Term Loss	\$0.00	\$0.97
Disallowed Short Term Loss	\$0.00	\$0.00
TOTAL SHORT TERM GAIN (LOSS)	\$0.00	(\$0.97)

Long Term Gain	\$0.00	\$0.00
Long Term Loss	\$0.00	\$0.00
Disallowed Long Term Loss	\$0.00	\$0.00
TOTAL LONG TERM GAIN (LOSS)	\$0.00	\$0.00

NFS-provided cost basis, realized gain (loss) and holding period information may not reflect all adjustments necessary for your tax reporting purposes. Please refer to Footnotes and Cost Basis Information at the end of this statement for more information.

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDPXJN_BBBBC 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019

KEVIN WALSH - Individual
Account Number: RQV-003560



Account Overview *continued*

MESSAGES AND ALERTS

DRS - Direct Registration System Transfer Agent Fee Effective May 1, 2014, three transfer agents, Computershare, Wells Fargo, and Registrar and Transfer Company are implementing a \$15 transfer fee for each position moved into your brokerage account via book entry Direct Registration System - DRS. If the fee is charged by the agent, NFS will pass through the charge to the account. As a reminder, there is already an existing fee charged to accounts for outgoing DRS transfers. Please contact your Financial Advisor if you have any questions regarding this fee.

Beginning in January 2019, National Financial Services will enhance the end-investor statement with the following changes. Payee details will be displayed within Activity Sections Description field for transactions that have associated Payee information. A summary level total of Short Dividends charged will be reported within the Account Overview section. Change in Value of Your Portfolio graph will show minimum and maximum scaling on the Y axis. Include Negative values and, use clearer data points for information displayed.

National Financial Services LLC NFS is required by the Securities Exchange Act of 1934 to provide certain financial information from its Statement of Financial Condition. At December 31, 2018, NFS, an affiliate of Fidelity Brokerage Services LLC, had net capital of \$4.012 million, which was 13.67 percent of aggregate debit items and exceeded its minimum requirement by \$3,425 million. To acquire the Statement of Financial Condition, log on to www.nybrokerageinfo.com. If you wish to obtain a copy of this document at no cost, please call 800-439-5627.

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDPXJN_BBBBC 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019

KEVIN WALSH - Individual
Account Number: RQV-003560



Holdings

NFS-provided cost basis, realized gain (loss) and holding period information may not reflect all adjustments necessary for tax purposes. Please refer to Footnotes and Cost Basis Information at the end of this statement for more information.

For additional information regarding your holdings, please refer to the footnotes at the end of the statement.

CASH AND CASH EQUIVALENTS - 0.00% of Total Account Value

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income
Cash					
NET CASH POSITION				(\$11,203.17)	
Total Cash and Cash Equivalents				(\$11,203.17)	

HOLDINGS > EQUITIES - 26.54% of Total Account Value

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
Equity							
ADIENT PLC COM USD0.001	ADNT	2	\$12.96	\$25.92		\$93.17	(\$67.25)
Dividend Option Cash	MARGIN						
Capital Gain Option Cash							
Average Unit Cost						\$46.59	
APPLE INC COM USD0.00001	AAPL	200	\$189.95	\$37,990.00	\$584.00	\$18,844.00	\$19,146.00
Estimated Yield 1.53%	MARGIN						
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost						\$94.22	
AT&T INC COM USD1	T	47	\$31.35	\$1,473.92	\$95.88	\$1,101.47	\$372.45
Estimated Yield 6.50%	MARGIN						
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost						\$23.44	

Royal Alliance Associates, Inc.

MN _CEBGWBCPBBDPXJN_BBBBC 20190329

Account carried with National Financial Services LLC. Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019

KEVIN WALSH - Individual
Account Number: RQV-003560



HOLDINGS > EQUITIES *continued*

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
CHARTER COMMUNICATIONS INC NEW CL A Dividend Option Cash Capital Gain Option Cash Average Unit Cost \$60.44	CHTR MARGIN	3	\$346.91	\$1,040.73		\$181.31 T	\$959.42
FACEBOOK INC-CLASS A Dividend Option Cash Capital Gain Option Cash Average Unit Cost \$42.41	FB MARGIN	330	\$166.69	\$55,007.70		\$13,996.62	\$41,011.08
FORD MTR CO DEL COM Estimated Yield 6.83% Dividend Option Cash Capital Gain Option Cash Average Unit Cost \$12.54	F MARGIN	2,500	\$8.78	\$21,950.00	\$1,500.00	\$31,351.65 T	(\$9,401.65)
GABRIEL TECHNOLOGIES CORP Average Unit Cost \$0.50	362447104 CASH	2	unavailable	unavailable		\$1.00 T	
GENERAL ELECTRIC CO COM USD0.05 Estimated Yield 0.40% Dividend Option Cash Capital Gain Option Cash Next Dividend Payable: 04/25/19 Average Unit Cost \$38.31	GE MARGIN	100	\$9.99	\$999.00	\$4.00	\$3,831.11 T	(\$2,832.11)
GROUPON INC COM Dividend Option Cash Capital Gain Option Cash Average Unit Cost \$9.83	GRPN MARGIN	2,000	\$3.55	\$7,100.00		\$19,668.00	(\$12,568.00)
JOHNSON CONTROLS INTERNATIONAL PLC COM USD1.00 Estimated Yield 2.81% Dividend Option Cash Capital Gain Option Cash Average Unit Cost \$18.74	JCI MARGIN	23	\$36.94	\$849.62	\$23.92	\$431.13 T	\$418.49
NVENT ELECTRIC PLC COM USD0.01 Estimated Yield 2.59% Dividend Option Cash Capital Gain Option Cash Average Unit Cost \$10.77	NVT MARGIN	5	\$26.98	\$134.90	\$3.50	\$53.85 T	\$81.05

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDPXJN_BBBBC 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019

KEVIN WALSH - Individual
Account Number: RQV-003560



HOLDINGS > EQUITIES *continued*

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
PENTAIR PLC SHS Estimated Yield 1.61% Dividend Option Cash Capital Gain Option Cash Average Unit Cost \$21.24	PNR MARGIN	5	\$44.51	\$222.55	\$3.60	\$106.22 T	\$116.33
RITE AID CORP COM Dividend Option Cash Capital Gain Option Cash Average Unit Cost \$5.33	RAD MARGIN	1,000	\$0.635	\$635.00		\$5,329.00	(\$4,694.00)
TE CONNECTIVITY LTD REG SHS Estimated Yield 2.18% Dividend Option Cash Capital Gain Option Cash Average Unit Cost \$26.98	TEL MARGIN	25	\$80.75	\$2,018.75	\$44.00	\$674.39 T	\$1,344.36
Total Equity				\$129,448.09	\$2,258.90	\$95,662.92	\$33,786.17
Total Equities				\$129,448.09	\$2,258.90	\$95,662.92	\$33,786.17

HOLDINGS > FIXED INCOME - 2.46% of Total Account Value

For an explanation of fixed income pricing, please see the last page. Redemption schedule(s), bond rating(s), and other information are provided where available. If information does not appear regarding a particular investment, it is not available. The ratings on this statement are provided by Standard & Poor's and/or Moody's to rate the quality based on the respective rating agency's assessment. Ratings information from Standard & Poor's ("S&P") may not be reproduced. S&P credit ratings are statements of opinion and are not statements of fact or recommendations to purchase, hold, or sell securities, nor do they address the suitability of securities for investment purposes, and should not be relied on as investment advice. S&P does not guarantee the accuracy, completeness, timeliness or availability of any information, including ratings, and is not responsible for errors or omissions (negligent or otherwise). S&P gives no express or implied warranties, including but not limited to any warranties of merchantability or fitness for a particular purpose or use. S&P shall not be liable for any direct, indirect, incidental, exemplary, compensatory, punitive, special or consequential damages, costs, expenses, legal fees, or losses (including lost income or profits and opportunity costs) in connection with any use of ratings.

Description	Symbol/Cusip Account Type	Quantity	Estimated Price on 03/31/19	Estimated Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
Corporate Bonds							
SEARS HLDGS CORP NOTE CALL MAKE WHOLE 6.62500% 10/15/2018 MOODY'S WR CPN PMT SEMI-ANNUAL ON OCT 15, APR 15 CONTINUOUSLY CALLABLE IN MONETARY DEFAULT Average Unit Cost \$98.76	812350AE6 MARGIN	100,000	\$12.00	\$12,000.00		\$98,767.00	

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEBGWBCPBBDPXJN_BBBBC 20190329

Statement for the Period March 1, 2019 to March 31, 2019

KEVIN WALSH - Individual
Account Number: RQV-003560



HOLDINGS > FIXED INCOME *continued*

Description	Symbol/Cusip Account Type	Quantity	Estimated Price on 03/31/19	Estimated Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
SEARS HLDGS CORP NOTE CALL MAKE WHOLE	812350AE6	<i>continued</i>					
Adjusted Cost Basis						\$98,757.00 D	(\$86,757.00)
Total Fixed Income		100,000		\$12,000.00		\$98,757.00	(\$86,757.00)

HOLDINGS > MUTUAL FUNDS - 71.00% of Total Account Value

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
Equity							
FIDELITY ADVISOR GROWTH OPPTIES CL C	FACGX	2,485.543	\$68.04	\$169,123.15		\$106,073.96	\$63,049.19
Dividend Option Cash	MARGIN						
Capital Gain Option Cash							
Average Unit Cost						\$42.67	
FIDELITY ADVISOR LEVERGED CO STK CL A	FLSAX	2,925.12	\$38.13	\$111,534.83		\$89,919.88 T	\$21,614.95
Dividend Option Cash	MARGIN						
Capital Gain Option Cash							
Average Unit Cost						\$30.74	
FIDELITY ADVISOR VALUE STRAT CL A	FSOAX	2,194.363	\$29.88	\$65,567.57	\$634.17	\$68,045.16 T	(\$2,477.59)
Estimated Yield 0.96%	MARGIN						
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost						\$31.01	
Total Equity				\$346,225.55	\$634.17	\$264,039.00	\$82,186.55
Total Mutual Funds				\$346,225.55	\$634.17	\$264,039.00	\$82,186.55
Total Securities				\$487,673.64	\$2,893.07	\$458,458.92	\$29,215.72
TOTAL PORTFOLIO VALUE				\$476,470.47	\$2,893.07	\$458,458.92	\$29,215.72

Royal Alliance Associates, Inc.

MN _CEBGWBCPBDDPXJN_BBBC 20190329

Account carried with National Financial Services LLC. Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019

KEVIN WALSH - Individual
Account Number: RQV-003560



Activity

NFS-provided cost basis, realized gain (loss) and holding period information may not reflect all adjustments necessary for tax purposes. Please refer to Footnotes and Cost Basis Information at the end of this statement for more information.

ADDITIONS AND WITHDRAWALS > CHECKING ACTIVITY

Date	Check Number	Description	Expense Code	Amount
Checking Activity				
03/17/19	1015	K WALSH		(\$5,000.00)
Total Checking Activity				(\$5,000.00)
TOTAL ADDITIONS AND WITHDRAWALS				(\$5,000.00)

ACTIVITY > MISCELLANEOUS & CORPORATE ACTIONS

This section includes miscellaneous and certain corporate action transactions such as mergers, acquisitions, currency conversions, shares delivered or received in-kind, with a zero dollar amount at the time the transaction occurred. It also includes Return of Principal transactions.

Date	Account Type	Transaction	Description	Quantity	Amount	Total Cost Basis	Realized Gain (Loss)
03/25/19	MARGIN	CONVERSION	FIDELITY ADVISOR LEVERGED CO STK CL C TO 315805424 TRAN VALUE: \$4,963.14	(149,988)	\$0.00		
03/25/19	MARGIN	CONVERSION	FIDELITY ADVISOR LEVERGED CO STK CL C TO 315805424 TRAN VALUE: \$105,937.87	(3,201,507)	\$0.00		
03/25/19	MARGIN	CONVERSION	FIDELITY ADVISOR LEVERGED CO STK CL A FROM 315805382 TRAN VALUE: (\$4,962.72)	130,908	\$0.00	\$0.00	\$0.00
03/25/19	MARGIN	CONVERSION	FIDELITY ADVISOR LEVERGED CO STK CL A FROM 315805382 TRAN VALUE: (\$105,928.58)	2,794,212	\$0.00	\$0.00	\$0.00

Royal Alliance Associates, Inc.

MN _CEBGWBCPBBDPXJN_BBBC 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019

KEVIN WALSH - Individual
Account Number: RQV-003560



ACTIVITY > INCOME > TAXABLE INCOME

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
Taxable Dividends					
03/01/19	MARGIN	DIVIDEND RECEIVED	FORD MTR CO DEL COM		\$375.00
03/08/19	MARGIN	DIVIDEND RECEIVED	TE CONNECTIVITY LTD REG SHS		\$11.00
Total Taxable Dividends					\$386.00
Total Taxable Income					\$386.00
TOTAL INCOME					\$386.00

ACTIVITY > TAXES, FEES AND EXPENSES

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
Margin Interest					
03/20/19	MARGIN	MARGIN INTEREST	@ 9.500% AVG BAL 8,052DR 02/21-03/20 END BAL 11,143DR 28 DAYS		(\$59.50)
Total Margin Interest					(\$59.50)
TOTAL TAXES, FEES AND EXPENSES					(\$59.50)

ACTIVITY > OTHER ACTIVITY

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
03/11/19	MARGIN	JOURNALED	MARGIN TO CASH A/C		(\$5,000.00)
03/11/19	CASH	JOURNALED	MARGIN TO CASH A/C		\$5,000.00
TOTAL OTHER ACTIVITY					\$0.00

Royal Alliance Associates, Inc.

MN _CEBGWBCPBBDPXJN_BBBC 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019

KEVIN WALSH - Individual
Account Number: RQV-003560



ACTIVITY > PENDING DISTRIBUTIONS

Pending dividends and stock distributions reflect projected values only, are subject to change and may not represent the actual amount, if any, that you may receive. This information is provided for informational purposes only and should not be relied on for tax reporting or other purposes.

Symbol/Cusip	Security Description	Eligible Quantity	Rate	Payment Amount
Pending Accrued Dividends				
GE	GENERAL ELECTRIC CO COM USD0.05	100	\$0.01	\$1.00
JCI	JOHNSON CONTROLS INTERNATIONAL PLC COM USD1.00	23	\$0.25	\$5.98
Total Pending Accrued Dividends				\$6.98

Footnotes and Cost Basis Information

Amortization, accretion and similar adjustments to cost basis have been provided for many fixed income securities (and some bond-like equities), however, they are not provided for certain types, such as short-term instruments, Unit Investment Trusts, foreign fixed income securities, or those that are subject to early prepayment of principal (pay downs). Where current year premium or acquisition premium amortization is provided, the prior years' cumulative amortization is reflected in the adjusted cost basis, but we cannot provide a breakdown or the total of such prior amortization amounts.

NFS is required to report certain cost basis and related information to the IRS on the Form 1099-B. Your official 1099-B forms for certain transactions will reflect which lots have been sold for tax purposes. To apply a specific identification cost basis method to 1099-B reporting, appropriate instructions must be on file with NFS or be received by NFS before the trade has settled. Absent such instructions, NFS determines cost basis at the time of sale based on its default methods of average cost for open-end mutual funds and first-in, first-out (FIFO) for all other (including ETFs) unless your broker dealer has elected to use another default method. NFS applies FIFO (or other disposal method, if applicable) based on its records, which may be different from yours. For transactions that are not subject to 1099-B cost basis reporting, you should refer to your trade confirmations and other applicable records to determine which lots were considered sold for tax purposes.

While NFS must meet IRS requirements with respect to certain information required to be reported to the IRS, NFS-provided cost basis, realized gain and loss, and holding period information may not reflect all adjustments necessary for your tax reporting purposes. NFS makes no warranties with respect to and specifically disclaims any liability arising out of a customer's use of, or any tax position taken in reliance upon, such information.

For investments in partnerships, NFS does not make any adjustments to cost basis information as the calculation of basis in such investments requires supplemental information from the partnership on its income and distributions during the period you held your investment. Partnerships usually provide this additional information on a Form K-1 issued by April 15th of the following year.

Consult your tax advisor for further information.

T - Cost basis information was provided by a third party. We treat it as original cost basis, as of the date it is provided, and we assume that for equities, it reflects any prior corporate actions, and for asset-backed fixed income securities, it reflects any prior principal pay downs. D - Adjusted cost basis reflects any cumulative original issue discount, premium, or acquisition premium, and it assumes such amounts were amortized by the taxpayer over the life of the security from acquisition date through disposition date. For securities still held, maturity date was used instead of disposition date. Premium amortization was calculated using the yield-to-maturity method. Acquisition premium was calculated using the ratable accrual method. If applicable, adjusted cost basis reflects market discount accretion which was calculated using the straight-line method and was recognized at disposition date. Gain/loss displayed for this transaction was based on cost basis as adjusted for premium and discount as stated above and does not reflect any losses disallowed because of wash sales (if applicable). The adjusted cost basis may not reflect all adjustments necessary for tax reporting purposes and may also not apply if you are using an alternative amortization calculation method. Refer to IRS Publication 550, Investment Income and Expenses, for additional

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEBGWBCPBBDPXJN_BBBC 20190329

Statement for the Period March 1, 2019 to March 31, 2019

KEVIN WALSH - Individual
Account Number: RQV-003560



Footnotes and Cost Basis Information *continued*

information.

If a sale, redemption or other disposition involved multiple tax lots, the transaction's totals may have been calculated using a combination of adjusted and unadjusted cost basis information. For lots where adjusted cost basis and its associated gain/loss are known, that was used, otherwise "regular" unadjusted cost basis and its associated gain/loss was used.

Miscellaneous Footnotes

CHANGE IN VALUE OF YOUR PORTFOLIO is the change in market value of your portfolio assets over the time period shown. The portfolio assets include the market value of all the securities in the account, plus insurance and annuity assets if applicable. The time frame of the graph is from account opening or September 2011, whichever is later, to the current period. Please note that large increases and/or declines in the change in the value of the portfolio can be due to additions, distribution and/or performance.

CHANGE IN VALUE reflects appreciation or depreciation of your holdings due to price changes plus any activity not reflected within Additions and Withdrawals, Income, Taxes, Fees and Expenses, and Other Activity sections. Change in Value does not reflect activity related to assets in which NFS is not the custodian (e.g. Insurance and Annuities, Assets Held Away and Other Assets Held Away).

MARGIN - You have been approved for margin privileges and may borrow money from NFS in exchange for pledging the assets in your account(s) as collateral for any outstanding margin loan. The amount you may borrow is based on the value of securities in your margin account, identified as Margin Positions Market Value on this statement. This statement shows the combined balance of your margin account and a special memorandum account maintained for you under Section 220.5 of Regulation T issued by the Board of Governors of the Federal Reserve Board. The permanent record of the separate account, as required by Regulation T, is available for your inspection.

MARGIN POSITIONS MARKET VALUE is the market value for all positions held in the margin account using the previous business day's closing price.

MARGIN BALANCE is the net U.S. dollar equivalent value of all currency balances (credit and/or debit) held in your margin account, as well as pending trades that will settle after the closing date of the statement and amounts needed to meet margin requirements.

SHORT POSITIONS MARKET VALUE is the market value for all positions held in the short account using the previous business day's closing price.

SHORT BALANCE is the net U.S. dollar equivalent value of all currency balances (credit and/or debit) held in your short account, as well as pending trades that will settle after the closing date of the statement and amounts needed to meet margin requirements.

MARGIN EQUITY is the value of all margin positions in the account less any margin debit balance plus any margin credit balance.

MARGIN EQUITY PERCENTAGE is the equity percentage of the margin market value of the account (The margin equity divided by the margin market value).

EQUITY BUYING POWER is the maximum dollar amount available, including cash and margin, to purchase marginable equity securities without adding money to the account. Buying power calculations include open order commitments, intraday trade executions, and money movement into and out of the account.

MARGIN INTEREST CHARGED THIS PERIOD is the U.S. dollar equivalent value of the interest charged on margin debit balances since the last statement period.

CALLABLE SECURITIES LOTTERY - When street name or bearer securities held for you are subject to a partial call or partial redemption by the issuer, NFS may or may not receive an allocation of called/redeemed securities by the issuer, transfer agent and/or depository. If NFS is allocated a portion of the called/redeemed securities, NFS utilizes an impartial lottery allocation system, in accordance with applicable rules, that randomly selects the securities within customer accounts that will be called/redeemed. NFS' allocations are not made on a pro rata basis and it is possible for you to receive a full or partial allocation, or no allocation. You have the right to withdraw uncalled fully paid securities at any time prior to the cutoff date and time established by the issuer, transfer agent and/or depository with respect to the partial call, and also to withdraw excess margin securities provided your account is not subject to restriction under Regulation T or such withdrawal will not cause an undermargined condition.

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEBGWBCPBBDPXJN_BBBBC 20190329

Statement for the Period March 1, 2019 to March 31, 2019

KEVIN WALSH - Individual
Account Number: RQV-003560



Miscellaneous Footnotes *continued*

PRICING INFORMATION - Prices displayed are obtained from sources that may include pricing vendors, broker/dealers who clear through NFS and/or other sources. Prices may not reflect current fair market value and/or may not be readily marketable or redeemable at the prices shown.

FOREIGN EXCHANGE TRANSACTIONS - Some transaction types necessitate a foreign currency exchange (FX) in order to settle. FX transactions may be effected by Fidelity Forex, Inc. on a principal basis. Fidelity Forex, Inc., an affiliate of NFS, may impose a commission or markup on the prevailing interbank market price, which may result in a higher price to you. Fidelity Forex, Inc. may share a portion of any FX commission or markup with NFS. More favorable rates may be available through third parties not affiliated with NFS. The rate applicable to any transaction involving an FX is available upon request through your broker-dealer.

COST BASIS LEGISLATION - New IRS Rules will require National Financial Services to report cost basis and holding period information for the sale of shares of open end Mutual Fund holdings purchased on or after January 1, 2012 on Form 1099-B. National Financial Services determines the cost basis for all shares of open end mutual funds using a default method of average cost. Alternatively, account owners or their brokers and advisors can instruct National Financial Services to determine the cost basis for shares of open end mutual funds by 1) setting up their non-retirement accounts with one of our eleven tax lot disposal methods available to investors or 2) identifying specific tax lots to sell at the time of a transaction. Contact your broker or advisor to learn more about the cost basis tracking of your holdings.

Royal Alliance Associates, Inc.

MN _CEBGWBPCBBDPXJN_BBBBC 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

GLOSSARY Short Account Balances - If you have sold securities under the short sale rule, we have, in accordance with regulations, segregated the proceeds from such transactions in your Short Account. Any market increases or decreases from the original sale price will be marked to the market and will be transferred to your Margin Account on a weekly basis. **Market Value** - The Total Market Value has been calculated out to 9 decimal places, however, the individual unit price is displayed in 5 decimal places. The Total Market Value represents prices obtained from various sources, may be impacted by the frequency in which such prices are reported and such prices are not guaranteed. Prices received from pricing vendors are generally based on current market quotes, but when such quotes are not available the pricing vendors use a variety of techniques to estimate value. These estimates, particularly for fixed income securities, may be based on certain minimum principal amounts (e.g. \$1 million) and may not reflect all of the factors that affect the value of the security, including liquidity risk. The prices provided are not firm bids or offers. Certain securities may reflect "N/A" or "unavailable" where the price for such security is generally not available from a pricing source. The Market Value of a security, including those priced at par value, may differ from its purchase price and may not

CUSTOMER SERVICE: Please review your statement and report any inaccuracy or discrepancy immediately by calling the telephone number of your broker-dealer reflected on the front of this statement. Reports of any inaccuracy or discrepancy regarding your brokerage account or the activity therein should be directed to your broker-dealer at the telephone number and address reflected on the front of this statement and National Financial Services LLC ("NFS").

NFS carries your brokerage account and acts as your custodian for funds and securities that are deposited with NFS by you or your broker-dealer. In addition to your initial contact with your broker-dealer you may contact NFS at (800) 801-9942. Any oral communications regarding inaccuracies or discrepancies should be reconfirmed in writing to protect your rights, including those under the Securities Investor Protection Act ("SIPA"). When contacting either your broker-dealer or NFS, remember to include your entire brokerage account number to ensure a prompt reply.

ADDITIONAL INFORMATION Free credit balances ("FCB") are funds payable to you on demand. FCB are subject to open commitments such as uncleared checks and exclude proceeds from sales of certificated securities without delivery of the certificate. If your FCB is swept to a core position, you can liquidate the core position and have the proceeds sent to you or held in your account subject to the terms of your account agreement. Required rule 10b-10(a) information not contained herein will be provided on written request. Fidelity may use this free credit balance in connection with its business, subject to applicable law.

Credit Adjustment Program. Accountholders receiving payments in lieu of qualified dividends may not be eligible to receive credit adjustments intended to help cover additional associated federal tax burdens. NFS reserves the right to deny the adjustment to any accountholder and to amend or terminate the credit adjustment program.

Options Customers. Each transaction confirmation previously delivered to you contains full information about commissions and other charges. If you require further information, please contact your broker-dealer. Assignments of American and European-style options are allocated among customer short positions pursuant to a random allocation procedure, a description of which is available upon request. Short positions in American-style options are liable for assignment at any time. The writer of a European-style option is subject to exercise assignment only during the exercise period. You should advise your broker-dealer promptly of any material change in your investment objectives or financial situation. Splits, Dividends, and Interest. Expected stock split, next dividend payable, and next interest payable information has been provided by third parties and may be subject to change. Information for certain securities may be missing if not received from third parties in time for printing. NFS is not responsible for inaccurate, incomplete, or missing information. Please consult your broker-dealer for more information about expected stock split, next dividend payable, and next interest payable for certain securities.

Equity Dividend Reinvestment Customers. Shares credited to your brokerage account resulted from transactions effected as agent by either: 1) Your broker-dealer for your investment account, or 2) through the Depository Trust Company (DTC) dividend reinvestment program. For broker-dealer effected transactions, the time of the transactions, the exchange upon which these transactions occurred and the name of the person from whom the security was purchased will be furnished upon written request. NFS may have acted as market maker in effecting trades in "over-the-counter" securities.

Retirement Contributions/Distributions. A summary of retirement contributions/distributions is displayed for you in the activity summary section of your statement. **Income Reporting.** NFS reports earnings from investments in Traditional IRAs, Rollover IRAs, SEP-IRAs and, Keoghs as tax-deferred income. Earnings from Roth IRAs are reported as tax-free income, since distributions may be tax-free after meeting the 5 year aging requirement and certain other conditions. A financial statement of NFS is available for your personal inspection at its office or a copy of it will be mailed to you upon your written request.

Statement Mailing. NFS will deliver statements by mail or, if applicable, notify you by e-mail of your statement's availability, if you had transactions that affected your cash balances or security positions held in your account(s) during the last monthly reporting period. At a minimum, all brokerage customers will receive quarterly statements (at least four times per calendar year) as long as their accounts contain a cash or securities balance.

Loads and Fees. In connection with (i) access to, purchase or redemption of, and/or maintenance of positions in mutual funds and other investment products ("funds") or (ii) infrastructure needed to support such funds, some funds, or their investment affiliates, pay your introducing broker dealer and/or NFS sales loads and 12b-1 fees

closely reflect the value at which the security may be sold or purchased based on various market factors. Investment decisions should be made only after consulting your broker-dealer.

Estimated Annual Income (EAI) & Estimated Yield (EY) - EAI for fixed income is calculated using the coupon rate. For all other securities, EAI is calculated using an indicated annual dividend (IAD). The IAD is an estimate of a security's dividend payments for the next 12 months calculated based on prior and/or declared dividends for that security. EY reflects only the income generated by an investment and not changes in its price which may fluctuate. Interest and dividend rates are subject to change at any time and may be affected by current and future economic, political and business conditions. EAI and EY are estimates only and may include return of principal and/or capital gains, which would render them overstated. EAI and EY are provided for informational purposes only and should not be used or relied on for making investment, trading or tax decisions. EAI and EY are based on data obtained from information providers believed to be reliable, but no assurance can be made as to accuracy, timeliness or completeness.

described in the prospectus as well as additional compensation for shareholder services, start-up fees, infrastructure support and maintenance, and other programs. Additional information about the source(s) and amount(s) of compensation as well as other remuneration received by you introducing broker dealer and/or NFS will be furnished to you upon written request. At time of purchase fund shares may be assigned a load, transaction fee or no transaction fee status. At time of sale, any fees applicable to your transaction will be assessed based on the status assigned to the shares at time of purchase. **Margin.** If you have applied for margin privileges and been approved, you may borrow money from NFS in exchange for pledging the assets in your account as collateral for any outstanding margin loan. The amount you may borrow is based on the value of securities in your margin account, which is identified on your statement. If you have a margin account, this is a combined statement of your margin account and special memorandum account other than your non-purpose margin accounts maintained for you under Section 220.5 of Regulation T issued by the Board of Governors of the Federal Reserve Board. The permanent record of the separate account, as required by Regulation T, is available for your inspection upon request. NYSE and FINRA. All transactions are subject to the constitution, rules, regulations, customs, usages, and interpretations of the exchange market and its clearing house, if any, where the transactions are executed, and of the New York Stock Exchange (NYSE) and of the Financial Industry Regulatory Authority ("FINRA"). The FINRA requires that we notify you in writing of the availability of an investor brochure that includes information describing FINRA Regulation's BrokerCheck Program ("Program"). To obtain a BrokerCheck Program Hotline at (800) 283-9999 or access the FINRA's web site at www.finra.org. FINRA Rule 4311 requires that your broker-dealer and NFS allocate between them certain functions regarding the administration of your brokerage account. The following is a summary of the allocation services performed by your broker-dealer and NFS. A more complete description is available upon request. Your broker-dealer is responsible for: (1) obtaining and verifying brokerage account information and documentation, (2) opening, approving and monitoring your brokerage account, (3) transmitting timely and accurate orders and other instructions to NFS with respect to your brokerage account, (4) determining the suitability of investment recommendations and advice, (5) operating, and supervising your brokerage account and its own activities in compliance with applicable laws and regulations including compliance with margin rules pertaining to your margin account, if applicable, and (6) maintaining required books and records for the services that it performs. NFS shall, at the direction of your broker-dealer: (1) execute, clear and settle transactions processed through NFS by your broker-dealer, (2) prepare and send transaction confirmations and periodic statements of your brokerage account (unless your broker-dealer has undertaken to do so). Certain securities pricing and descriptive information may be provided by your broker-dealer or obtained from third parties deemed to be reliable, however, this information has not been verified by NFS, (3) act as custodian for funds and securities received by NFS on your behalf, (4) follow the instructions of your broker-dealer with respect to transactions and the receipt and delivery of funds and securities for your brokerage account, and (5) extend margin credit for purchasing or carrying securities on margin. Your broker-dealer is responsible for ensuring that your brokerage account is in compliance with federal, industry and NFS margin rules, and for advising you of margin requirements. NFS shall maintain the required books and records for the services it performs. Securities in accounts carried by NFS are protected in accordance with the Securities Investor Protection Corporation ("SIPC") up to \$500,000. The \$500,000 total amount of SIPC protection is inclusive of up to \$250,000 protection for claims for cash, subject to periodic adjustments for inflation in accordance with terms of the SIPC statute and approval by SIPC's Board of Directors. NFS also has arranged for coverage above these limits. Neither coverage protects against a decline in the market value of securities, nor does either coverage extend to certain securities that are considered ineligible for coverage. For more details on SIPC, or to request a SIPC brochure, visit www.sipc.org or call 1-202-371-8300. Funds used to purchase or sweep to a bank deposit are SIPC protected until deposited to a Program Bank at which time funds may be eligible for FDIC insurance. Assets Held Away, commodities, unregistered investment contracts, futures accounts, loaned securities and other investments may not be covered. Precious metals are not covered by SIPC protection. Mutual funds and/or other securities are not backed or guaranteed by any bank, nor are they insured by the FDIC and involve investment risk including possible loss of principal.

End of Statement

722239.7.0

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEBGWBCPBDDPXJN_BBBBC 20190329

UNITED STATES BANKRUPTCY COURT
SOUTHERN DISTRICT OF NEW YORK

X
:
:
In Re :
Chapter 11
Case No. 18-23538 (RDD)

SEARS HOLDING CORPORATION, et al.,

Debtors

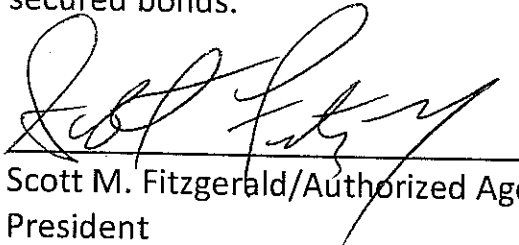
(Jointly Administered)

X
Response to objection by Sears Holding to Proofs of Claims (Reclassifying Claims)

Claim # 18023/USD 40,000.

Virginia Tartaglione/Peter Tartaglione
511 Covert Ave
New Hyde Park, NY 11040

Please do not allow Sears Corporation to (i)reclassify to general unsecured claims,
as I own second lien PIK notes and purchased these specifically based they were
secured bonds.



Scott M. Fitzgerald/Authorized Agent
President

11/5/2021

Steel Ridge Advisors
1377 Motor Pkwy, Suite 204
Islandia, NY 11749
sfitzgerald@steelridgeadvisors.com
(631) 353-0003

Contact 844.384.4460 Client Login



Sears Holdings Corporation (18-23538)

[CHANGE CASE](#)

Case Info Docket Claims Submit a Claim Submit Inquiry

Search Docket Search Claim

Q Enter number or name

Schedule	Claim #	Filed Date	Creditor Name	Debtor Name	Claim value
	18023	04/10/2019	VIRGINIA TARTAGLIONE / PETER TARTAGLIONE	Sears Holdings Corporation	\$ 40,000.00

Creditor Data Details for Claim # 18023

Creditor
VIRGINIA TARTAGLIONE / PETER TARTAGLIONE
511 COVERT AVE
NEW HYDE PARK, NY 11040

Date Filed
04/10/2019
Claim Number
18023
Proof of Claim
[View PDF](#) [Email PDF](#)

Debtor Name
Sears Holdings Corporation
Schedule Number

Select scope

Claims Only

Claim Number(s)(e.g. 1,3,5-7)

18023

Schedule Number

Creditor name

Debtor(s)

Sears Holdings Corporation(18-23538)

Select Classification

Select an Option

Select Search Operator

Select an Option

Amount

Date from

Date to

–

Search Claim

[Reset](#)

	Schedule Amount CUD*	Asserted Claim Amount CUF*	Current Claim Status Claim Value
General Unsecured			
Priority			
Secured		\$40,000.00	\$40,000.00 Asserted
503(b)(9) Admin Priority			
Admin Priority			
Total	\$0.00	\$40,000.00	\$40,000.00

*C=Contingent, U=Unliquidated, D=Disputed, F=Foreign

Prime Clerk maintains this website for the public's convenience and for general informational purposes only. Anyone using this website is cautioned NOT to rely on any information contained on this website, and any user of this website should not take or refrain from taking any action based upon anything included or not included on this website. We are not a law firm or a substitute for

[Open in new window](#)

Page 1 of 1

20

View 1 - 1 of 1

[Home](#) [Leadership](#) [Disclaimer](#) [Terms & Conditions](#)

©2016 Prime Clerk. All rights reserved.

Contact 844.384.4460 Client Login



Sears Holdings Corporation (18-23538)

[CHANGE CASE](#)

[Case Info](#) [Docket](#) [Claims](#) [Submit a Claim](#) [Submit Inquiry](#)

[Search Docket](#) [Search Claim](#)

Q Enter number or name

Schedule	Claim #	Filed Date	Creditor Name	Debtor Name	Claim Value
	18023	04/10/2019	VIRGINIA TARTAGLIONE / PETER TARTAGLIONE	Sears Holdings Corporation	\$ 40,000.00

Select scope

Claims Only

Claim Number(s)(e.g. 1,3,5-7)

18023

Schedule Number

Creditor name

Debtor(s)

Sears Holdings Corporation(18-23538)

Select Classification

Select an Option

Select Search Operator

Select an Option

Amount

Date from

Date to

-

[Search Claim](#)

[Reset](#)

Creditor Data Details for Claim # 18023

Creditor
VIRGINIA TARTAGLIONE / PETER TARTAGLIONE
511 COVERT AVE
NEW HYDE PARK, NY 11040

Date Filed
04/10/2019
Claim Number
18023

Debtor Name
Sears Holdings Corporation
Schedule Number

Proof of Claim
[View PDF](#) [Email PDF](#)

	Schedule Amount C*UD*	Asserted Claim Amount C*UD*	Current Claim Status Claim Value
General Unsecured		\$40,000.00	\$40,000.00 Asserted
Priority			
Secured			
503(b)(9) Admin Priority			
Admin Priority			
Total	\$0.00	\$40,000.00	\$40,000.00

*C=Contingent, U=Unliquidated, D=Disputed, F=Foreign

Prime Clerk maintains this website for the public's convenience and for general informational purposes only. Anyone using this website is cautioned NOT to rely on any information contained on this website, and any user of this website should not take or refrain from taking any action based upon anything included or not included on this website. We are not a law firm or a substitute for

[Open in new window](#)

Page 1 of 1

20

View 1 - 1 of 1

[Home](#) [Leadership](#) [Disclaimer](#) [Terms & Conditions](#)

©2016 Prime Clerk. All rights reserved.

Fill in this information to identify the case (Select only one Debtor per claim form):

<input checked="" type="checkbox"/> Sears Holdings Corporation (18-23538)	<input type="checkbox"/> Kmart Corporation (18-23549)	<input type="checkbox"/> Sears, Roebuck & Co. Puerto Rico, Inc. (18-23561)	<input type="checkbox"/> MyGofer LLC (18-23573)	<input type="checkbox"/> Kmart.com LLC (18-23585)
<input type="checkbox"/> Sears, Roebuck and Co. (18-23537)	<input type="checkbox"/> MaxServ, Inc. (18-23550)	<input type="checkbox"/> SYW Relay LLC (18-23562)	<input type="checkbox"/> Sears Brands Business Unit Corporation (18-23574)	<input type="checkbox"/> Sears Brands Management Corporation (18-23586)
<input type="checkbox"/> Kmart Holding Corporation (18-23539)	<input type="checkbox"/> Private Brands, Ltd. (18-23551)	<input type="checkbox"/> Wally Labs LLC (18-23563)	<input type="checkbox"/> Sears Holdings Publishing Company, LLC (18-23575)	<input type="checkbox"/> SHC Licensed Business LLC (18-23616)
<input type="checkbox"/> Kmart Operations LLC (18-23540)	<input type="checkbox"/> Sears Development Co. (18-23552)	<input type="checkbox"/> Big Beaver of Florida Development, LLC (18-23564)	<input type="checkbox"/> Kmart of Michigan, Inc. (18-23576)	<input type="checkbox"/> SHC Promotions LLC (18-23630)
<input type="checkbox"/> Sears Operations LLC (18-23541)	<input type="checkbox"/> Sears Holdings Management Corporation (18-23553)	<input type="checkbox"/> California Builder Appliances, Inc. (18-23565)	<input type="checkbox"/> SHC Desert Springs, LLC (18-23577)	<input type="checkbox"/> SRe Holding Corporation (19-22301)
<input type="checkbox"/> ServiceLive, Inc. (18-23542)	<input type="checkbox"/> Sears Home & Business Franchises, Inc. (18-23554)	<input type="checkbox"/> Florida Builder Appliances, Inc. (18-23566)	<input type="checkbox"/> SOE, Inc. (18-23578)	
<input type="checkbox"/> A&E Factory Service, LLC (18-23543)	<input type="checkbox"/> Sears Home Improvement Products, Inc. (18-23555)	<input type="checkbox"/> KBL Holding Inc. (18-23567)	<input type="checkbox"/> StarWest, LLC (18-23579)	
<input type="checkbox"/> A&E Home Delivery, LLC (18-23544)	<input type="checkbox"/> Sears Insurance Services, L.L.C. (18-23556)	<input type="checkbox"/> KLC, Inc. (18-23568)	<input type="checkbox"/> STI Merchandising, Inc. (18-23580)	
<input type="checkbox"/> A&E Lawn & Garden, LLC (18-23545)	<input type="checkbox"/> Sears Procurement Services, Inc. (18-23557)	<input type="checkbox"/> Sears Protection Company (Florida), L.L.C. (18-23569)	<input type="checkbox"/> Troy Coolidge No. 13, LLC (18-23581)	
<input type="checkbox"/> A&E Signature Service, LLC (18-23546)	<input type="checkbox"/> Sears Protection Company (18-23558)	<input type="checkbox"/> Kmart of Washington LLC (18-23570)	<input type="checkbox"/> BlueLight.com, Inc. (18-23582)	
<input type="checkbox"/> FBA Holdings Inc. (18-23547)	<input type="checkbox"/> Sears Protection Company (PR) Inc. (18-23559)	<input type="checkbox"/> Kmart Stores of Illinois LLC (18-23571)	<input type="checkbox"/> Sears Brands, L.L.C. (18-23583)	
<input type="checkbox"/> Innovel Solutions, Inc. (18-23548)	<input type="checkbox"/> Sears Roebuck Acceptance Corp. (18-23560)	<input type="checkbox"/> Kmart Stores of Texas LLC (18-23572)	<input type="checkbox"/> Sears Buying Services, Inc. (18-23584)	

Proof of Claim

04/16

Read the instructions before filling out this form. This form is for making a claim for payment in a bankruptcy case. Do not use this form to make a request for payment of an administrative expense, other than a claim entitled to administrative priority pursuant to 11 U.S.C. § 503(b)(9). Make such a request according to 11 U.S.C. § 503.

Filers must leave out or redact information that is entitled to privacy on this form or on any attached documents. Attach redacted copies of any documents that support the claim, such as promissory notes, purchase orders, invoices, itemized statements of running accounts, contracts, judgments, mortgages, and security agreements. Do not send original documents; they may be destroyed after scanning. If the documents are not available, explain in an attachment.

A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

Fill in all the information about the claim as of the date the case was filed. That date is on the notice of bankruptcy (Form 309) that you received.

Part 1: Identify the Claim

1. Who is the current creditor?	VIRGINIA TARTAGLIONE / PETER TARTAGLIONE Name of the current creditor (the person or entity to be paid for this claim)	
	Other names the creditor used with the debtor _____	
2. Has this claim been acquired from someone else?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. From whom? _____	
3. Where should notices and payments to the creditor be sent?	Where should notices to the creditor be sent?	Where should payments to the creditor be sent? (if different)
Federal Rule of Bankruptcy Procedure (FRBP) 2002(g)	511 COVERT AVE NEW HYDE PARK, NY 11040	NATIONAL FINANCIAL SERVICES C/O ROYAL ALLIANCE 10 EXCHANGE PLAZA SUITE 1410 JERSEY CITY, NJ 07302 RQV-003683
	Contact phone 516-328-0437	Contact phone 631-353-0003
	Contact email vtartag@gmail.com	Contact email sfitzgerald@steelridgeadvisors.com
4. Does this claim amend one already filed?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. Claim number on court claims registry (if known) _____	
	Filed on MM / DD / YYYY	
5. Do you know if anyone else has filed a proof of claim for this claim?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. Who made the earlier filing? _____	

Part 2:**Give Information About the Claim as of the Date the Case Was Filed**

Pg 170 of 280

6. Do you have any number you use to identify the debtor? ☐ No ☒ Yes. Last 4 digits of the debtor's account or any number you use to identify the debtor: 7 1 0 3

7. How much is the claim? \$ 40,000.00 Does this amount include interest or other charges? ☒ No ☐ Yes. Attach statement itemizing interest, fees, expenses, or other charges required by Bankruptcy Rule 3001(c)(2)(A).

8. What is the basis of the claim? Examples: Goods sold, money loaned, lease, services performed, personal injury or wrongful death, or creditcard. Attach redacted copies of any documents supporting the claim required by Bankruptcy Rule 3001(c). Limit disclosing information that is entitled to privacy, such as health care information.

9. Is all or part of the claim secured? ☐ No ☒ Yes. The claim is secured by a lien on property.
Nature of property:
☐ Real estate. If the claim is secured by the debtor's principal residence, file a *Mortgage Proof of Claim Attachment* (Official Form 410-A) with this *Proof of Claim*.
☐ Motor vehicle
☒ Other. Describe: SEARS HLDGS CORP. 6 5/8% SENIOR SECURED NOTE Due 10/15/18

Basis for perfection: _____
Attach redacted copies of documents, if any, that show evidence of perfection of a security interest (for example, a mortgage, lien, certificate of title, financing statement, or other document that shows the lien has been filed or recorded.)

Value of property: \$ _____

Amount of the claim that is secured: \$ _____

Amount of the claim that is unsecured: \$ _____ (The sum of the secured and unsecured amounts should match the amount in line 7.)

Amount necessary to cure any default as of the date of the petition: \$ _____

Annual Interest Rate (when case was filed) _____ %

- ☐ Fixed
☐ Variable

10. Is this claim based on a lease? ☒ No ☐ Yes. Amount necessary to cure any default as of the date of the petition. \$ _____

11. Is this claim subject to a right of setoff? ☒ No ☐ Yes. Identify the property: _____

12. Is all or part of the claim entitled to priority under 11 U.S.C. § 507(a)? ☒ No ☐ Yes. Check one:

A claim may be partly priority and partly nonpriority. For example, in some categories, the law limits the amount entitled to priority.

☐ Domestic support obligations (including alimony and child support) under 11 U.S.C. § 507(a)(1)(A) or (a)(1)(B). Amount entitled to priority \$ _____

☐ Up to \$2,850* of deposits toward purchase, lease, or rental of property or services for personal, family, or household use. 11 U.S.C. § 507(a)(7). \$ _____

☐ Wages, salaries, or commissions (up to \$12,850*) earned within 180 days before the bankruptcy petition is filed or the debtor's business ends, whichever is earlier. 11 U.S.C. § 507(a)(4). \$ _____

☐ Taxes or penalties owed to governmental units. 11 U.S.C. § 507(a)(8). \$ _____

☐ Contributions to an employee benefit plan. 11 U.S.C. § 507(a)(5). \$ _____

☐ Other. Specify subsection of 11 U.S.C. § 507(a)() that applies. \$ _____

* Amounts are subject to adjustment on 4/01/19 and every 3 years after that for cases begun on or after the date of adjustment.

13. Is all or part of the claim entitled to administrative priority pursuant to 11 U.S.C. § 503(b)(9)? ☒ No ☐ Yes. Indicate the amount of your claim arising from the value of any goods received by the Debtor within 20 days before the date of commencement of the above case, in which the goods have been sold to the Debtor in the ordinary course of such Debtor's business. Attach documentation supporting such claim. \$ _____

Part 3: Sign Below

The person completing this proof of claim must sign and date it. FRBP 9011(b).

If you file this claim electronically, FRBP 5005(a)(2) authorizes courts to establish local rules specifying what a signature is.

A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

Check the appropriate box:

- ☐ I am the creditor.
☒ I am the creditor's attorney or authorized agent.
☐ I am the trustee, or the debtor, or their authorized agent. Bankruptcy Rule 3004.
☐ I am a guarantor, surety, endorser, or other codebtor. Bankruptcy Rule 3005.

I understand that an authorized signature on this *Proof of Claim* serves as an acknowledgment that when calculating the amount of the claim, the creditor gave the debtor credit for any payments received toward the debt.

I have examined the information in this *Proof of Claim* and have a reasonable belief that the information is true and correct.

I declare under penalty of perjury that the foregoing is true and correct.

Executed on date 04/09/2019 (mm/dd/yyyy)

Signature

Print the name of the person who is completing and signing this claim:

Name of the person who is completing and signing this claim:

Name SCOTT M FITZGERALD
First name Middle name Last name

Title PRESIDENT

Company STEEL RIDGE ADVISORS
Identify the corporate servicer as the company if the authorized agent is a servicer.

Address 1377 MOTOR PKWY, SUITE 204
Number Street

ISLANDIA NY 11749
City State ZIP Code

Contact phone 631-353-0003 Email sfitzgerald@steelridgeadvisors.com

ENV# CEBGWBCPBBDPXLN_BBBBD
ROYAL ALLIANCE ASSOCIATES INC.
10 EXCHANGE PLACE, SUITE 1410
JERSEY CITY, NJ 07302

VIRGINIA TARTAGLIONE
PETER TARTAGLIONE
511 COVERT AVE
NEW HYDE PARK NY 11040



STATEMENT FOR THE PERIOD MARCH 1, 2019 TO MARCH 31, 2019

VIRGINIA TARTAGLIONE & PETER TARTAGLIONE - Joint WROS
Account Number: RQV-003683

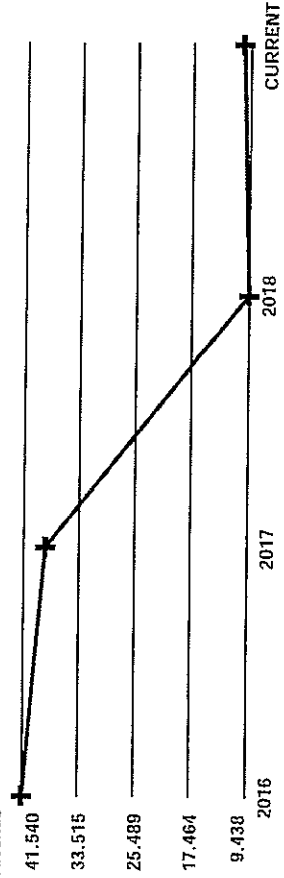
YOUR FINANCIAL ADVISOR IS:
SCOTT FITZGERALD
RR#: AZP

For questions about your accounts:
Local: 631 353 0003
In-State: 631 353 0003
National: 631 353 0003

TOTAL VALUE OF YOUR PORTFOLIO

\$10,455.74

CHANGE IN VALUE OF YOUR PORTFOLIO
\$ thousands



Change In Value Of Your Portfolio information can be found in Miscellaneous Footnotes at the end of this statement.

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEBGWBCPBBDPXLN_BBBBD 20190329

Statement for the Period March 1, 2019 to March 31, 2019
VIRGINIA TARTAGLIONE & PETER TARTAGLIONE - Joint WROS
Account Number: RQV-003683

Account Overview

CHANGE IN ACCOUNT VALUE	Current Period	Year-to-Date
BEGINNING VALUE	\$14,452.58	\$9,438.79
Additions and Withdrawals	\$0.00	\$0.00
Income	\$3.16	\$16.95
Taxes, Fees and Expenses	\$0.00	\$0.00
Change in Value	(\$4,000.00)	\$1,000.00
ENDING VALUE (AS OF 03/31/19)	\$10,455.74	\$10,455.74

Refer to Miscellaneous Footnotes for more information on Change in Value.

MARGIN PROFILE

Margin Positions Market Value	as of March 31, 2019	
Margin Balance (Net currency credit/debit)	\$4,800.00	\$0.00
Margin Equity	\$4,800.00	\$0.00
Margin Equity Percent	100.0%	\$18,852.46
Equity Buying Power		\$0.00
Margin Interest Charged this Period		

Balances and Margin availability are reflected as of the closing date of this statement. Please consult with your broker/dealer prior to trading as these amounts may have changed. Refer to Miscellaneous Footnotes at the end of this statement for more information.

Margin balance information reported in this section is based on trade date. Position and balance information reported elsewhere in this statement is based on settlement date.

INCOME

TAXABLE	Current Period	Year-to-Date
Taxable Dividends	\$2.58	\$16.37
Taxable Interest	\$0.58	\$0.58
TOTAL TAXABLE	\$3.16	\$16.95

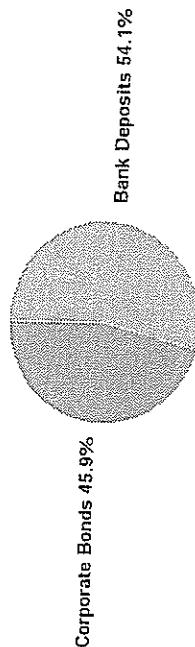
Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDPXLN_BBBD 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC



ACCOUNT ALLOCATION



	Percent	Prior Period	Current Period
Money Markets	0.0 %	\$5,652.58	\$0.00
Bank Deposits	54.1	\$0.00	\$5,655.74
Corporate Bonds	45.9	\$8,800.00	\$4,800.00
TOTAL	100.0 %	\$14,452.58	\$10,455.74

Cash and Cash Equivalents will include margin debit and credit balances.

Account Allocation shows the percentage that each asset class represents of your total account value. Account Allocation for equities, fixed income, and other categories may include mutual funds and may be net of short positions. NFS has made assumptions concerning how certain mutual funds are allocated. Closed-end mutual funds and Exchange Traded Products (ETPs) listed on an exchange may be included in the equity allocation. The chart may not reflect your actual portfolio allocation. Consult your broker/dealer prior to making investment decisions.

Statement for the Period March 1, 2019 to March 31, 2019
VIRGINIA TARTAGLIONE & PETER TARTAGLIONE - Joint WROS
Account Number: RQV-003683



Account Overview *continued*

<i>INCOME continued</i>	<i>Current Period</i>	<i>Year-to-Date</i>
TOTAL INCOME	\$3.16	\$16.95

Taxable income is determined based on information available to NFS at the time the statement was prepared, and is subject to change. Final information on taxation of interest and dividends is available on Form 1099-Div, which is mailed in February of the subsequent year.

MESSAGES AND ALERTS

DRS - Direct Registration System Transfer Agent Fee Effective May 1, 2014, three transfer agents, Computershare, Wells Fargo, and Registrar and Transfer Company are implementing a \$15 transfer fee for each position moved into your brokerage account via book entry Direct Registration System - DRS. If the fee is charged by the agent, NFS will pass through the charge to the account. As a reminder, there is already an existing fee charged to accounts for outgoing DRS transfers. Please contact your Financial Advisor if you have any questions regarding this fee.

Beginning in January 2019, National Financial Services will enhance the end-investor statement with the following changes. Payee details will be displayed within Activity Sections Description field for transactions that have associated Payee information. A summary level total of Short Dividends charged will be reported within the Account Overview section. Change in Value of Your Portfolio graph will show minimum and maximum scaling on the Y axis, include Negative values and, use clearer data points for information displayed.

National Financial Services LLC NFS is required by the Securities Exchange Act of 1934 to provide certain financial information from its Statement of Financial Condition. At December 31, 2018, NFS, an affiliate of Fidelity Brokerage Services LLC, had net capital of \$4.012 million, which was 13.67 percent of aggregate debit items and exceeded its minimum requirement by \$3,425 million. To acquire the Statement of Financial Condition, log on to www.nybrokerageinfo.com. If you wish to obtain a copy of this document at no cost, please call 800-439-5627.

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDPXLN_BBBBD 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019

VIRGINIA TARTAGLIONE & PETER TARTAGLIONE - Joint WROS
Account Number: RQV-003683



Holdings

NFS-provided cost basis, realized gain (loss) and holding period information may not reflect all adjustments necessary for tax purposes. Please refer to Footnotes and Cost Basis Information at the end of this statement for more information.

For additional information regarding your holdings, please refer to the footnotes at the end of the statement.

CASH AND CASH EQUIVALENTS - 54.09% of Total Account Value

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income
-------------	------------------------------	----------	----------------------	-------------------------	----------------------------

Bank Deposits

Bank deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). Funds used to purchase or sweep to a bank deposit are SIPC protected until deposited to a Program Bank at which time funds may be eligible for FDIC insurance. Customers are responsible for monitoring their total deposits at each Program Bank to determine the extent of available FDIC insurance. Refer to the Bank Deposit Detail section which appears later in this statement for information on the banks holding your deposits. If your account was established on the last business day of this month, your statement will not include a Bank Deposit Detail section.

ADVISOR GROUP INS DEPOSIT PROGRAM
(CONSUMER-TIERED)

QAGCQ 5,655.74 \$1.00 \$5,655.74

Estimated Annual Yield 0.19%

Total Cash and Cash Equivalents

\$5,655.74

HOLDINGS > FIXED INCOME - 45.91% of Total Account Value

For an explanation of fixed income pricing, please see the last page. Redemption schedule(s), bond rating(s), and other information are provided where available. If information does not appear regarding a particular investment, it is not available. The ratings on this statement are provided by Standard & Poor's and/or Moody's to rate the quality based on the respective rating agency's assessment. Ratings information from Standard & Poor's ("S&P") may not be reproduced. S&P credit ratings are statements of opinion and are not statements of fact or recommendations to purchase, hold, or sell securities, nor do they address the suitability of securities for investment purposes, and should not be relied on as investment advice. S&P does not guarantee the accuracy, completeness, timeliness or availability of any information, including ratings, and is not responsible for errors or omissions (negligent or otherwise). S&P gives no express or implied warranties, including but not limited to any warranties of merchantability or fitness for a particular purpose or use. S&P shall not be liable for any direct, indirect, incidental, exemplary, compensatory, punitive, special or consequential damages, costs, expenses, legal fees, or losses (including lost income or profits and opportunity costs) in connection with any use of ratings.

Description	Symbol/Cusip Account Type	Quantity	Estimated Price on 03/31/19	Estimated Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
-------------	------------------------------	----------	-----------------------------------	--------------------------------------	----------------------------	---------------------------------	---------------------------

Corporate Bonds

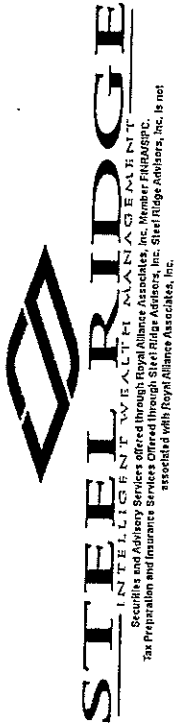
SEARS HLDGS CORP NOTE CALL MAKE WHOLE	812350AE6	40,000	\$12.00	\$4,800.00		\$38,457.00	
6.62500% 10/15/2018							
MOODY'S WR	MARGIN						
CPN PMT SEMI-ANNUAL							
ON OCT 15, APR 15							

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEBGWBCPBBDPXLN_BBBBD 20190329

Statement for the Period March 1, 2019 to March 31, 2019
VIRGINIA TARTAGLIONE & PETER TARTAGLIONE - Joint WROS
Account Number: RQV-003683



ACTIVITY > CORE FUND ACTIVITY *continued*

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
03/29/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) @ 1	2.58	(\$2.58)
03/29/19	CASH	REINVESTMENT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) NET INT REINVEST	0.58	(\$0.58)
TOTAL CORE FUND ACTIVITY					(\$5,655.74)

ACTIVITY > INCOME > TAXABLE INCOME

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
Taxable Dividends					
03/29/19	CASH	DIVIDEND RECEIVED	FIDELITY GOVT MMKT CAPITAL RESERVES CL DIVIDEND RECEIVED		\$2.58
Total Taxable Dividends					\$2.58
Taxable Interest					
03/29/19	CASH	INTEREST RECEIVED	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED)		\$0.58
Total Taxable Interest					\$0.58
Total Taxable Income					\$3.16
TOTAL INCOME					\$3.16

Royal Alliance Associates, Inc.

MIN_CEBGWBCPBBDPXLN_BBBBD 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019

VIRGINIA TARTAGLIONE & PETER TARTAGLIONE - Joint WROS
Account Number: RQV-003683



ACTIVITY > BANK DEPOSIT DETAIL

Bank deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). Customers are responsible for monitoring their total deposits at each Program Bank to determine the extent of available FDIC insurance. Your Ending Balance at each Program Bank as of the end of this statement period is shown below. If you participate in a Bank Deposit Sweep Program and also hold a Bank Deposit Direct Investment, the Bank Deposit Detail section lists banks and ending balances for both programs. Funds pending settlement reflect deposits to (credit) or withdrawals from (debit) a Program Bank. Subject to the terms of the applicable bank deposit disclosure, customers are reminded that funds are deposited to a Program Bank on the business day following the date that funds are credited to your account and until swept to a Program Bank, funds are covered by SIPC.

Bank	Beginning Balance	Ending Balance
Capital One Bank	\$0.00	\$5,653.16
Current Month's Pending Settlement		\$2.58
Total Bank Deposits	\$0.00	\$5,655.74

Footnotes and Cost Basis Information

Amortization, accretion and similar adjustments to cost basis have been provided for many fixed income securities (and some bond-like equities), however, they are not provided for certain types, such as short-term instruments, Unit Investment Trusts, foreign fixed income securities, or those that are subject to early prepayment of principal (pay downs). Where current year premium or acquisition premium amortization is provided, the prior years' cumulative amortization is reflected in the adjusted cost basis, but we cannot provide a breakdown or the total of such prior amortization amounts.

NFS is required to report certain cost basis and related information to the IRS on the Form 1099-B. Your official 1099-B forms for certain transactions will reflect which lots have been sold for tax purposes. To apply a specific identification cost basis method to 1099-B reporting, appropriate instructions must be on file with NFS or be received by NFS before the trade has settled. Absent such instructions, NFS determines cost basis at the time of sale based on its default methods of average cost for open-end mutual funds and first-in, first-out (FIFO) for all other (including ETFs) unless your broker dealer has elected to use another default method. NFS applies FIFO (or other disposal method, if applicable) based on its records, which may be different from yours. For transactions that are not subject to 1099-B cost basis reporting, you should refer to your trade confirmations and other applicable records to determine which lots were considered sold for tax purposes.

While NFS must meet IRS requirements with respect to certain information required to be reported to the IRS, NFS-provided cost basis, realized gain and loss, and holding period information may not reflect all adjustments necessary for your tax reporting purposes. NFS makes no warranties with respect to and specifically disclaims any liability arising out of a customer's use of, or any tax position taken in reliance upon, such information.

For investments in partnerships, NFS does not make any adjustments to cost basis information as the calculation of basis in such investments requires supplemental information from the partnership on its income and distributions during the period you held your investment. Partnerships usually provide this additional information on a Form K-1 issued by April 15th of the following year.

Consult your tax advisor for further information.

D - Adjusted cost basis reflects any cumulative original issue discount, premium, or acquisition premium, and it assumes such amounts were amortized by the taxpayer over the life of the security from acquisition date through disposition date. For securities still held, maturity date was used instead of disposition date. Premium amortization was calculated using the yield-to-maturity method. Acquisition premium was calculated using the ratable accrual method. If applicable, adjusted cost basis reflects market discount accretion which was calculated using the straight-line method and was recognized at disposition date. Gain/loss displayed for this transaction was based on cost basis as adjusted for premium and discount as stated above and does not reflect any losses disallowed because of wash sales (if applicable). The adjusted cost basis may not reflect all adjustments necessary for tax reporting purposes and may also not apply if you are using an alternative amortization calculation method. Refer to IRS Publication 550, Investment Income and Expenses, for additional information.

If a sale, redemption or other disposition involved multiple tax lots, the transaction's totals may have been calculated using a combination of adjusted and unadjusted cost basis information. For lots where adjusted cost basis and its associated gain/loss are known, that was used, otherwise "regular" unadjusted cost basis and its associated gain/loss was used.

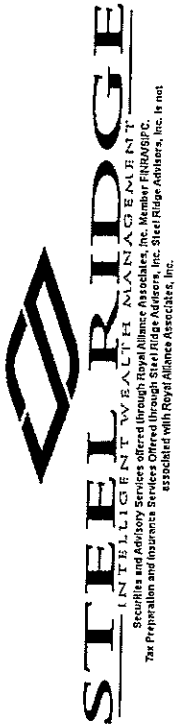
Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MIN _CEBGWBCPBBDPXUN_BBBD 20190329

Statement for the Period March 1, 2019 to March 31, 2019

VIRGINIA TARTAGLIONE & PETER TARTAGLIONE - Joint WROS
Account Number: RQV-003683



Miscellaneous Footnotes

CHANGE IN VALUE OF YOUR PORTFOLIO is the change in market value of your portfolio assets over the time period shown. The portfolio assets include the market value of all the securities in the account, plus insurance and annuity assets if applicable. The time frame of the graph is from account opening or September 2011, whichever is later, to the current period. Please note that large increases and/or declines in the change in the value of the portfolio can be due to additions, distribution and/or performance.

CHANGE IN VALUE reflects appreciation or depreciation of your holdings due to price changes plus any activity not reflected within Additions and Withdrawals, Income, Taxes, Fees and Expenses, and Other Activity sections. Change in Value does not reflect activity related to assets in which NFS is not the custodian (e.g. Insurance and Annuities, Assets Held Away and Other Assets Held Away).

MARGIN - You have been approved for margin privileges and may borrow money from NFS in exchange for pledging the assets in your account(s) as collateral for any outstanding margin loan. The amount you may borrow is based on the value of securities in your margin account, identified as Margin Positions Market Value on this statement. This statement shows the combined balance of your margin account and a special memorandum account maintained for you under Section 220.5 of Regulation T issued by the Board of Governors of the Federal Reserve Board. The permanent record of the separate account, as required by Regulation T, is available for your inspection.

MARGIN POSITIONS MARKET VALUE is the market value for all positions held in the margin account using the previous business day's closing price.

MARGIN BALANCE is the net U.S. dollar equivalent value of all currency balances (credit and/or debit) held in your margin account, as well as pending trades that will settle after the closing date of the statement and amounts needed to meet margin requirements.

SHORT POSITIONS MARKET VALUE is the market value for all positions held in the short account using the previous business day's closing price.

SHORT BALANCE is the net U.S. dollar equivalent value of all currency balances (credit and/or debit) held in your short account, as well as pending trades that will settle after the closing date of the statement and amounts needed to meet margin requirements.

MARGIN EQUITY is the value of all margin positions in the account less any margin debit balance plus any margin credit balance.

MARGIN EQUITY PERCENTAGE is the equity percentage of the margin market value of the account (The margin equity divided by the margin market value).

EQUITY BUYING POWER is the maximum dollar amount available, including cash and margin, to purchase marginable equity securities without adding money to the account. Buying power calculations include open order commitments, intraday trade executions, and money movement into and out of the account.

MARGIN INTEREST CHARGED THIS PERIOD is the U.S. dollar equivalent value of the interest charged on margin debit balances since the last statement period.

CALLABLE SECURITIES LOTTERY - When street name or bearer securities held for you are subject to a partial call or partial redemption by the issuer, NFS may or may not receive an allocation of called/redeemed securities by the issuer, transfer agent and/or depository. If NFS is allocated a portion of the called/redeemed securities, NFS utilizes an impartial lottery allocation system, in accordance with applicable rules, that randomly selects the securities within customer accounts that will be called/redeemed. NFS' allocations are not made on a pro rata basis and it is possible for you to receive a full or partial allocation, or no allocation. You have the right to withdraw uncalled fully paid securities at any time prior to the cutoff date and time established by the issuer, transfer agent and/or depository with respect to the partial call, and also to withdraw excess margin provided your account is not subject to restriction under Regulation T or such withdrawal will not cause an undermargined condition.

PRICING INFORMATION - Prices displayed are obtained from sources that may include pricing vendors, broker/dealers who clear through NFS and/or other sources. Prices may not reflect current fair market value and/or may not be readily marketable or redeemable at the prices shown.

FOREIGN EXCHANGE TRANSACTIONS - Some transaction types necessitate a foreign currency exchange (FX) in order to settle. FX transactions may be effected by Fidelity Forex, Inc. on a principal basis. Fidelity Forex, Inc., an affiliate of NFS, may impose a commission or markup on the prevailing interbank market price, which may result in a higher price to you. Fidelity Forex, Inc. may share a portion of any FX commission or markup with NFS. More favorable rates may be available through third parties not affiliated with NFS. The rate applicable to any transaction involving an FX is available upon request through your broker-dealer.

COST BASIS LEGISLATION - New IRS Rules will require National Financial Services to report cost basis and holding period information for the sale of shares of open end Mutual Fund holdings purchased on or after January 1, 2012 on Form 1099-B. National Financial Services determines the cost basis for all shares of open end mutual funds using a default method of average cost. Alternatively, account owners or their brokers and advisors can instruct National Financial Services to determine the cost basis for shares of open end mutual funds by 1) settling up their non-retirement accounts with one of our eleven tax lot disposal methods available to investors or 2) identifying specific tax lots to sell at the time of a transaction. Contact your broker or advisor to learn more about the cost basis tracking of your holdings.

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MIN_CEBGWBCBPBBDPXLN_BBBBD 20190329

closely reflect the value at which the security may be sold or purchased based on various market factors. Investment decisions should be made only after consulting your broker-dealer.

Estimated Annual Income (EAI) & Estimated Yield (EY) - EAI for fixed income is calculated using the coupon rate. For all other securities, EAI is calculated using an indicated annual dividend (IAD). The IAD is an estimate of a security's dividend payments for the next 12 months calculated based on prior and/or declared dividends for that security. EY reflects only the income generated by an investment and not changes in its price which may fluctuate. Interest and dividend rates are subject to change at any time and may be affected by current and future economic, political and business conditions. EAI and EY are estimates only and may include return of principal and/or capital gains, which would render them overstated. EAI and EY are provided for informational purposes only and should not be used or relied on for making investment, trading or tax decisions. EAI and EY are based on data obtained from information providers believed to be reliable, but no assurance can be made as to accuracy, timeliness or completeness.

described in the prospectus as well as additional compensation for shareholder services, start-up fees, infrastructure support and maintenance, and other programs. Additional information about the source(s) and amount(s) of compensation as well as other remuneration received by your introducing broker dealer and/or NFS will be furnished to you upon written request. At time of purchase fund shares may be assigned a load, transaction fee or no transaction fee status. At time of sale, any fees applicable to your transaction will be assessed based on the status assigned to the shares at time of purchase. **Margin**. If you have applied for margin privileges and been approved, you may borrow money from NFS in exchange for pledging the assets in your account as collateral for any outstanding margin loan. The amount you may borrow is based on the value of securities in your margin account, which is identified on your statement. If you have a margin account, this is a combined statement of your margin account and special memorandum account other than your non-purpose margin accounts maintained for you under Section 220.5 of Regulation T issued by the Board of Governors of the Federal Reserve Board. The permanent record of the separate account, as required by Regulation T, is available for your inspection upon request. **NYSE and FINRA**. All transactions are subject to the constitution, rules, regulations, customs, usages, rulings and interpretations of the exchange market and its clearing house, if any, where the transactions are executed, and of the New York Stock Exchange (NYSE) and of the Financial Industry Regulatory Authority ("FINRA"). The FINRA requires that we notify you in writing of the availability of an investor brochure that includes information describing FINRA Regulation's Broker-Check Program ("Program"). To obtain a brochure or more information about the Program or FINRA Regulation, contact the FINRA Regulation Broker-Check Program Hotline at (800) 289-9999 or access the FINRA's web site at www.finra.org. **FINRA Rule 4311** requires that your broker-dealer and NFS allocate between them certain functions regarding the administration of your brokerage account. The following is a summary of the allocation services performed by your broker-dealer and NFS. A more complete description is available upon request. **Your broker-dealer is responsible for:** (1) obtaining and verifying brokerage account information and documentation, (2) opening, approving and monitoring your brokerage account, (3) transmitting timely and accurate orders and other instructions to NFS with respect to your brokerage account, (4) determining the suitability of investment recommendations and advice, (5) operating, and supervising your brokerage account and its own activities in compliance with applicable laws and regulations including compliance with margin rules pertaining to your margin account, if applicable, and (6) maintaining required books and records for the services that it performs. **NFS shall, at the direction of your broker-dealer:** (1) execute, clear and settle transactions processed through NFS by your broker-dealer, (2) prepare and send transaction confirmations and periodic statements of your brokerage account (unless your broker-dealer has undertaken to do so). Certain securities pricing and descriptive information may be provided by your broker-dealer or obtained from third parties deemed to be reliable, however, this information has not been verified by NFS, (3) act as custodian for funds and securities received by NFS on your behalf, (4) follow the instructions of your broker-dealer with respect to transactions and the receipt and delivery of funds and securities for your brokerage account, and (5) extend margin credit for purchasing or carrying securities on margin. Your broker-dealer is responsible for ensuring that your brokerage account is in compliance with federal, industry and NFS margin rules, and for advising you of margin requirements. NFS shall maintain the required books and records for the services it performs. Securities in accounts carried by NFS are protected in accordance with the Securities Investor Protection Corporation ("SIPC") up to \$500,000. The \$500,000 total amount of SIPC protection is inclusive of up to \$250,000 protection for claims for cash, subject to periodic adjustments for inflation in accordance with terms of the SIPC statute and approval by SIPC's Board of Directors. NFS also has arranged for coverage above these limits. Neither coverage protects against a decline in the market value of securities, nor does either coverage extend to certain securities that are considered ineligible for coverage. For more details on SIPC, or to request a SIPC brochure, visit www.sipc.org or call 1-202-371-8300. Funds used to purchase or sweep to a bank deposit are SIPC protected until deposited to a Program Bank at which time funds may be eligible for FDIC insurance. Assets Held Away, commodities, unregistered investment contracts, futures accounts, loaned securities and other investments may not be covered. Precious metals are not covered by SIPC protection. Mutual funds and/or other securities are not backed or guaranteed by any bank, nor are they insured by the FDIC and involve investment risk including possible loss of principal.

722239.70

End of Statement

Account carried with National Financial Services LLC, Member
NYSE, SIPC

GLOSSARY Short Account Balances-If you have sold securities under the short sale rule, we have, in accordance with regulations, segregated the proceeds from such transactions in your Short Account. Any market increases or decreases from the original sale price will be marked to the market and will be transferred to your Margin Account on a weekly basis. **Market Value** - The Total Market Value has been calculated out to 9 decimal places, however, the individual unit price is displayed in 5 decimal places. The Total Market Value represents prices obtained from various sources, may be impacted by the frequency in which such prices are reported and such prices are not guaranteed. Prices received from pricing vendors are generally based on current market quotes, but when such quotes are not available the pricing vendors use a variety of techniques to estimate value. These estimates, particularly for **fixed income securities**, may be based on certain minimum principal amounts (e.g. \$1 million) and may not reflect all of the factors that affect the value of the security, including liquidity risk. The prices provided are not firm bids or offers. Certain securities may reflect "N/A" or "unavailable" where the price for such security is generally not available from a pricing source. The Market Value of a security, including those priced at par value, may differ from its purchase price and may not

CUSTOMER SERVICE: Please review your statement and report any inaccuracy or discrepancy immediately by calling the telephone number of your broker-dealer reflected on the front of this statement. Reports of any inaccuracy or discrepancy regarding your brokerage account or the activity therein should be directed to your broker-dealer at the telephone number and address reflected on the front of this statement and National Financial Services LLC ("NFS").

NFS carries your brokerage account and acts as your custodian for funds and securities that are deposited with NFS by you or your broker-dealer. In addition to your initial contact with your broker-dealer you may contact NFS at (800) 801-9942. Any oral communications regarding inaccuracies or discrepancies should be reconfirmed in writing to protect your rights, including those under the Securities Investor Protection Act ("SIPA"). When contacting either your broker-dealer or NFS, remember to include your entire brokerage account number to ensure a prompt reply.

ADDITIONAL INFORMATION Free credit balances ("FCB") are funds payable to you on demand. FCB are subject to open commitments such as uncleared checks and exclude proceeds from sales of certificated securities without delivery of the certificate. If your FCB is swept to a core position, you can liquidate the core position and have the proceeds sent to you or held in your account subject to the terms of your account agreement. Required rule 10b-10(g) information not contained herein will be provided on written request. Fidelity may use this free credit balance in connection with its business, subject to applicable law.

Credit Adjustment Program. Accountholders receiving payments in lieu of qualified dividends may not be eligible to receive credit adjustments intended to help cover additional associated federal tax burdens. NFS reserves the right to deny the adjustment to any accountholder and to amend or terminate the credit adjustment program.

Options Customers. Each transaction confirmation previously delivered to you contains full information about commissions and other charges. If you require further information, please contact your broker-dealer. Assignments of American and European-style options are allocated among customer short positions pursuant to a random allocation procedure, a description of which is available upon request. Short positions in American-style options are liable for assignment at any time. The writer of a European-style option is subject to exercise assignment only during the exercise period. You should advise your broker-dealer promptly of any material change in your investment objectives or financial situation. **Splits, Dividends, and Interest.** Expected stock split, next dividend payable, and next interest payable information has been provided by third parties and may be subject to change. Information for certain securities may be missing if not received from third parties in time for printing. NFS is not responsible for inaccurate, incomplete, or missing information. Please consult your broker-dealer for more information about expected stock split, next dividend payable, and next interest payable for certain securities.

Equity Dividend Reinvestment Customers. Shares credited to your brokerage account resulted from transactions effected as agent by either: 1) Your broker-dealer for your investment account, or 2) through the Depository Trust Company (DTC) dividend reinvestment program. For broker-dealer effected transactions, the line of the transactions, the exchange upon which these transactions occurred and the name of the person from whom the security was purchased will be furnished upon written request. NFS may have acted as market maker in effecting trades in "over-the-counter" securities.

Retirement Contributions/Distributions. A summary of retirement contributions/distributions is displayed for you in the activity summary section of your statement. **Income Reporting.** NFS reports earnings from investments in Traditional IRAs, Rollover IRAs, SEP-IRAs and, Keoghs as tax-deferred income. Earnings from Roth IRAs are reported as tax-free income, since distributions may be tax-free after meeting the 5 year aging requirement and certain other conditions. A financial statement of NFS is available for your personal inspection at its office or a copy of it will be mailed to you upon your written request.

Statement Mailing. NFS will deliver statements by mail or, if applicable, notify you by e-mail of your statement's availability, if you had transactions that affected your cash balances or security positions held in your account(s) during the last monthly reporting period. At a minimum, all brokerage customers will receive quarterly statements (at least four times per calendar year) as long as their accounts contain a cash or securities balance.

Loads and Fees. In connection with (i) access to, purchase or redemption of, and/or maintenance of positions in mutual funds and other investment products ("funds") or (ii) infrastructure needed to support such funds, some funds, or their investment affiliates, pay your introducing broker dealer and/or NFS sales loads and 12b-1 fees

Royal Alliance Associates, Inc.

MN_CEBGWBCPBDP2XLN_BBBD 20190329

This page is left intentionally blank

UNITED STATES BANKRUPTCY COURT
SOUTHERN DISTRICT OF NEW YORK

X
:
:
In Re : Chapter 11
Case No. 18-23538 (RDD)

SEARS HOLDING CORPORATION, et al.,

Debtors

(Jointly Administered)

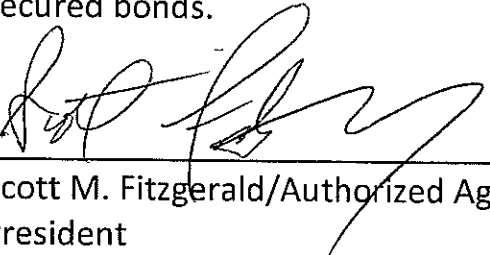
X

Response to objection by Sears Holding to Proofs of Claims (Reclassifying Claims)

Claim # 17964/USD 106,000.

JOAN HOLM & STANLEY HOLM
85 Earl St
Westbury, NY 11590

Please do not allow Sears Corporation to (i)reclassify to general unsecured claims,
as I own second lien PIK notes and purchased these specifically based they were
secured bonds.



Scott M. Fitzgerald/Authorized Agent
President

Steel Ridge Advisors
1377 Motor Pkwy, Suite 204
Islandia, NY 11749
sfitzgerald@steelridgeadvisors.com
(631) 353-0003

11/5/2021

Contact 844.384.4460 Client Login



Sears Holdings Corporation (18-23538)

[CHANGE CASE](#)

Case Info Docket Claims Submit a Claim Submit Inquiry

Search Docket Search Claim

Q Enter number or name

Schedule	Claim #	Filed Date	Creditor Name	Debtor Name	Claim Value
	17964#	04/10/2019	HOLM, JOAN & STANLEY	Sears Holdings Corporation	\$ 106,000.00

Creditor Data Details for Claim # 17964

Creditor
HOLM, JOAN & STANLEY

Date Filed
04/10/2019

Debtor Name
Sears Holdings Corporation
Schedule Number

Claim Number
17964

Proof of Claim
[View PDF](#) [Email PDF](#)

Select scope

Claims Only

Claim Number(s)(e.g. 1,3,5-7)

17964

Schedule Number

Creditor name

Debtor(s)

Sears Holdings Corporation(18-23538)

Select Classification

Select an Option

Select Search Operator

Select an Option

Amount

Date from

Date to

Search Claim

[Reset](#)

	Schedule Amount C*UD*	Asserted Claim Amount C*UF*	Current Claim Status Claim Value
General Unsecured			
Priority			
Secured		\$106,000.00	\$106,000.00 Asserted
503(b)(9) Admin Priority			
Admin Priority			
Total	\$0.00	\$106,000.00	\$106,000.00

*C=Contingent, U=Unliquidated, D=Disputed, F=Foreign

Prime Clerk maintains this website for the public's convenience and for general informational purposes only. Anyone using this website is cautioned NOT to rely on any information contained on this Website, and any user of this website should not take or refrain from taking any action based upon anything included or not included on this website. We are not a law firm or a substitute for

[Open in new window](#)

Page 1 of 1

29

View 1 - 1 of 1

Home Leadership Disclaimer Terms & Conditions

©2016 Prime Clerk. All rights reserved.

Contact 844.384.4460 Client Login



Sears Holdings Corporation (18-23538)

[CHANGE CASE](#)

[Case Info](#) [Docket](#) [Claims](#) [Submit a Claim](#) [Submit Inquiry](#)

[Search Docket](#) [Search Claim](#)

Q Enter number or name

Schedule	Claim #	Filed Date	Creditor Name	Debtor Name	Claim value
	17964	04/10/2019	HOLM, JOAN & STANLEY	Sears Holdings Corporation	\$ 106,000.00

Select scope

Claims Only

Claim Number(s)(e.g. 1,3,5-7)

17964

Schedule Number

Creditor name

Debtor(s)

Sears Holdings Corporation(18-23538)

Select Classification

Select an Option

Select Search Operator

Select an Option

Amount

Date from

Date to

[Search Claim](#)

[Receipt](#)

Creditor Data Details for Claim # 17964

Creditor
HOLM, JOAN & STANLEY

Date Filed
04/10/2019

Debtor Name
Sears Holdings Corporation
Schedule Number

Claim Number
17964
Proof of Claim
[View PDF](#) [Email PDF](#)

	Schedule Amount CUD*	Asserted Claim Amount CUF*	Current Claim Status
General Unsecured		\$106,000.00	\$106,000.00 Asserted
Priority			
Secured			
503(b)(9) Admin Priority			
Admin Priority			
Total	\$0.00	\$106,000.00	\$106,000.00

*C=Contingent, U=Unliquidated, D=Disputed, F=Foreign

Prime Clerk maintains this website for the public's convenience and for general informational purposes only. Anyone using this website is cautioned NOT to rely on any information contained on this Website, and any user of this website should not take or refrain from taking any action based upon anything included or not included on this website. We are not a law firm or a substitute for

[Open in new window](#)

Page 1 of 1

25

View 1 of 1

[Home](#) [Leadership](#) [Disclaimer](#) [Terms & Conditions](#)

©2016 Prime Clerk. All rights reserved.

Fill in this information to identify the case (Select only one Debtor per claim form):

<input checked="" type="checkbox"/> Sears Holdings Corporation (18-23538)	<input type="checkbox"/> Kmart Corporation (18-23549)	<input type="checkbox"/> Sears, Roebuck de Puerto Rico, Inc. (18-23561)	<input type="checkbox"/> MyGofer LLC (18-23573)	<input type="checkbox"/> Kmart.com LLC (18-23585)
<input type="checkbox"/> Sears, Roebuck and Co. (18-23537)	<input type="checkbox"/> MaxServ, Inc. (18-23550)	<input type="checkbox"/> SYW Relay LLC (18-23562)	<input type="checkbox"/> Sears Brands Business Unit Corporation (18-23574)	<input type="checkbox"/> Sears Brands Management Corporation (18-23586)
<input type="checkbox"/> Kmart Holding Corporation (18-23539)	<input type="checkbox"/> Private Brands, Ltd. (18-23551)	<input type="checkbox"/> Wally Labs LLC (18-23563)	<input type="checkbox"/> Sears Holdings Publishing Company, LLC (18-23575)	<input type="checkbox"/> SHC Licensed Business LLC (18-23616)
<input type="checkbox"/> Kmart Operations LLC (18-23540)	<input type="checkbox"/> Sears Development Co. (18-23552)	<input type="checkbox"/> Big Beaver of Florida Development, LLC (18-23564)	<input type="checkbox"/> Kmart of Michigan, Inc. (18-23576)	<input type="checkbox"/> SHC Promotions LLC (18-23630)
<input type="checkbox"/> Sears Operations LLC (18-23541)	<input type="checkbox"/> Sears Holdings Management Corporation (18-23553)	<input type="checkbox"/> California Builder Appliances, Inc. (18-23565)	<input type="checkbox"/> SHC Desert Springs, LLC (18-23577)	<input type="checkbox"/> SRe Holding Corporation (19-22301)
<input type="checkbox"/> ServiceLive, Inc. (18-23542)	<input type="checkbox"/> Sears Home & Business Franchises, Inc. (18-23554)	<input type="checkbox"/> Florida Builder Appliances, Inc. (18-23566)	<input type="checkbox"/> SOE, Inc. (18-23578)	
<input type="checkbox"/> A&E Factory Service, LLC (18-23543)	<input type="checkbox"/> Sears Home Improvement Products, Inc. (18-23555)	<input type="checkbox"/> KBL Holding Inc. (18-23567)	<input type="checkbox"/> StarWest, LLC (18-23579)	
<input type="checkbox"/> A&E Home Delivery, LLC (18-23544)	<input type="checkbox"/> Sears Insurance Services, L.L.C. (18-23556)	<input type="checkbox"/> KLC, Inc. (18-23568)	<input type="checkbox"/> STI Merchandising, Inc. (18-23580)	
<input type="checkbox"/> A&E Lawn & Garden, LLC (18-23545)	<input type="checkbox"/> Sears Procurement Services, Inc. (18-23557)	<input type="checkbox"/> Sears Protection Company (Florida), L.L.C. (18-23569)	<input type="checkbox"/> Troy Coolidge No. 13, LLC (18-23581)	
<input type="checkbox"/> A&E Signature Service, LLC (18-23546)	<input type="checkbox"/> Sears Protection Company (18-23558)	<input type="checkbox"/> Kmart of Washington LLC (18-23570)	<input type="checkbox"/> BlueLight.com, Inc. (18-23582)	
<input type="checkbox"/> FBA Holdings Inc. (18-23547)	<input type="checkbox"/> Sears Protection Company (PR) Inc. (18-23559)	<input type="checkbox"/> Kmart Stores of Illinois LLC (18-23571)	<input type="checkbox"/> Sears Brands, L.L.C. (18-23583)	
<input type="checkbox"/> Innoval Solutions, Inc. (18-23548)	<input type="checkbox"/> Sears Roebuck Acceptance Corp. (18-23560)	<input type="checkbox"/> Kmart Stores of Texas LLC (18-23572)	<input type="checkbox"/> Sears Buying Services, Inc. (18-23584)	

Proof of Claim

04/16

Read the instructions before filling out this form. This form is for making a claim for payment in a bankruptcy case. Do not use this form to make a request for payment of an administrative expense, other than a claim entitled to administrative priority pursuant to 11 U.S.C. § 503(b)(9). Make such a request according to 11 U.S.C. § 503.

Filers must leave out or redact information that is entitled to privacy on this form or on any attached documents. Attach redacted copies of any documents that support the claim, such as promissory notes, purchase orders, invoices, itemized statements of running accounts, contracts, judgments, mortgages, and security agreements. Do not send original documents; they may be destroyed after scanning. If the documents are not available, explain in an attachment.

A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

Fill in all the information about the claim as of the date the case was filed. That date is on the notice of bankruptcy (Form 309) that you received.

Part 1: Identify the Claim

1. Who is the current creditor?	JOAN HOLM & STANLEY HOLM Name of the current creditor (the person or entity to be paid for this claim) Other names the creditor used with the debtor _____	
2. Has this claim been acquired from someone else?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. From whom? _____	
3. Where should notices and payments to the creditor be sent? Federal Rule of Bankruptcy Procedure (FRBP) 2002(g)	Where should notices to the creditor be sent? 85 EARL ST WESTBURY, NY 11590 Contact phone <u>516-333-7416</u> Contact email <u>jholm851@gmail.com</u>	Where should payments to the creditor be sent? (if different) NATIONAL FINANCIAL SERVICES C/O ROYAL ALLIANCE 10 EXCHANGE PLAZA SUITE 1410 JERSEY CITY, NJ 07302 RQV-003632 Contact phone <u>631-353-0003</u> Contact email <u>sftzgerald@steelridgeadvisors.com</u>
4. Does this claim amend one already filed?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. Claim number on court claims registry (if known) _____ Filed on _____ MM / DD / YYYY	
5. Do you know if anyone else has filed a proof of claim for this claim?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. Who made the earlier filing? _____	

Part 2: Give Information About the Claim as of the Date the Case Was Filed

6. Do you have any number you use to identify the debtor? ☐ No ☒ Yes. Last 4 digits of the debtor's account or any number you use to identify the debtor: 5 2 2 7

7. How much is the claim? \$ 106,000.00 Does this amount include interest or other charges?
☒ No
☐ Yes. Attach statement itemizing interest, fees, expenses, or other charges required by Bankruptcy Rule 3001(c)(2)(A).

8. What is the basis of the claim? Examples: Goods sold, money loaned, lease, services performed, personal injury or wrongful death, or creditcard.
Attach redacted copies of any documents supporting the claim required by Bankruptcy Rule 3001(c).
Limit disclosing information that is entitled to privacy, such as health care information.

9. Is all or part of the claim secured? ☐ No ☒ Yes. The claim is secured by a lien on property.

Nature of property:

☐ Real estate. If the claim is secured by the debtor's principal residence, file a *Mortgage Proof of Claim Attachment* (Official Form 410-A) with this *Proof of Claim*.

☐ Motor vehicle

☒ Other. Describe: SEARS HLDGS CORP. 6 5/8% SENIOR SECURED NOTE Due 10/15/18

Basis for perfection: _____

Attach redacted copies of documents, if any, that show evidence of perfection of a security interest (for example, a mortgage, lien, certificate of title, financing statement, or other document that shows the lien has been filed or recorded.)

Value of property: \$ _____

Amount of the claim that is secured: \$ _____

Amount of the claim that is unsecured: \$ _____ (The sum of the secured and unsecured amounts should match the amount in line 7.)

Amount necessary to cure any default as of the date of the petition: \$ _____

Annual Interest Rate (when case was filed) _____ %

☐ Fixed

☐ Variable

10. Is this claim based on a lease? ☒ No ☐ Yes. Amount necessary to cure any default as of the date of the petition. \$ _____

11. Is this claim subject to a right of setoff? ☒ No ☐ Yes. Identify the property: _____

12. Is all or part of the claim entitled to priority under 11 U.S.C. § 507(a)? ☒ No
☐ Yes. Check one:

A claim may be partly priority and partly nonpriority. For example, in some categories, the law limits the amount entitled to priority.

<input type="checkbox"/> Domestic support obligations (including alimony and child support) under 11 U.S.C. § 507(a)(1)(A) or (a)(1)(B).	Amount entitled to priority \$ _____
<input type="checkbox"/> Up to \$2,850* of deposits toward purchase, lease, or rental of property or services for personal, family, or household use. 11 U.S.C. § 507(a)(7).	\$ _____
<input type="checkbox"/> Wages, salaries, or commissions (up to \$12,850*) earned within 180 days before the bankruptcy petition is filed or the debtor's business ends, whichever is earlier. 11 U.S.C. § 507(a)(4).	\$ _____
<input type="checkbox"/> Taxes or penalties owed to governmental units. 11 U.S.C. § 507(a)(8).	\$ _____
<input type="checkbox"/> Contributions to an employee benefit plan. 11 U.S.C. § 507(a)(5).	\$ _____
<input type="checkbox"/> Other. Specify subsection of 11 U.S.C. § 507(a)() that applies.	\$ _____

* Amounts are subject to adjustment on 4/01/19 and every 3 years after that for cases begun on or after the date of adjustment.

13. Is all or part of the claim entitled to administrative priority pursuant to 11 U.S.C. § 503(b)(9)? ☒ No
☐ Yes. Indicate the amount of your claim arising from the value of any goods received by the Debtor within 20 days before the date of commencement of the above case, in which the goods have been sold to the Debtor in the ordinary course of such Debtor's business. Attach documentation supporting such claim. \$ _____

Part 3: Sign Below

The person completing this proof of claim must sign and date it. FRBP 9011(b).

If you file this claim electronically, FRBP 5005(a)(2) authorizes courts to establish local rules specifying what a signature is.

A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

Check the appropriate box:

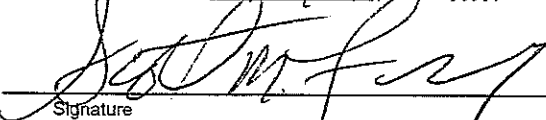
- ☐ I am the creditor.
☒ I am the creditor's attorney or authorized agent.
☐ I am the trustee, or the debtor, or their authorized agent. Bankruptcy Rule 3004.
☐ I am a guarantor, surety, endorser, or other codebtor. Bankruptcy Rule 3005.

I understand that an authorized signature on this *Proof of Claim* serves as an acknowledgment that when calculating the amount of the claim, the creditor gave the debtor credit for any payments received toward the debt.

I have examined the information in this *Proof of Claim* and have a reasonable belief that the information is true and correct.

I declare under penalty of perjury that the foregoing is true and correct.

Executed on date 09/08/2021 (mm/dd/yyyy)


 Signature

Print the name of the person who is completing and signing this claim:

Name of the person who is completing and signing this claim:

Name SCOTT M FITZGERALD
 First name Middle name Last name

Title PRESIDENT

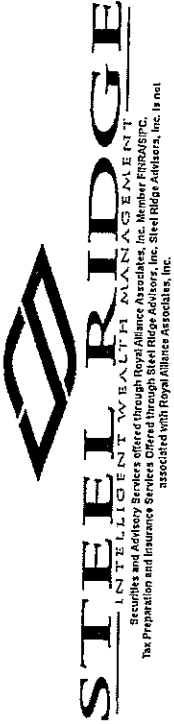
Company STEEL RIDGE ADVISORS
 Identify the corporate servicer as the company if the authorized agent is a servicer.

Address 1377 MOTOR PKWY, SUITE 204
 Number Street
ISLANDIA NY 11749
 City State ZIP Code

Contact phone 631-353-0003 Email sfitzgerald@steelridgeadvisors.com

ENV# CEBGWBCPBBDPXKN BBBB
ROYAL ALLIANCE ASSOCIATES INC.
10 EXCHANGE PLACE, SUITE 1410
JERSEY CITY, NJ 07302

JOAN HOLM
STANLEY HOLM
TOD JACQUELYNE M SCHWETZ
ALLISON P RUSSO
85 EARL ST
WESTBURY NY 11590



STATEMENT FOR THE PERIOD MARCH 1, 2019 TO MARCH 31, 2019

JOAN HOLM & STANLEY HOLM - Joint WROS TOD
Account Number: RQV-003632

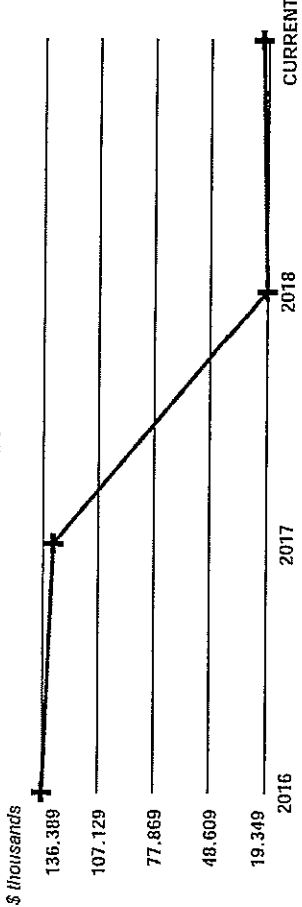
YOUR FINANCIAL ADVISOR IS:
SCOTT FITZGERALD
RR#: AZP

For questions about your accounts:
Local: 631 353 0003
In-State: 631 353 0003
National: 631 353 0003

TOTAL VALUE OF YOUR PORTFOLIO

\$22,027.73

CHANGE IN VALUE OF YOUR PORTFOLIO



Change In Value Of Your Portfolio information can be found in Miscellaneous Footnotes at the end of this statement.

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEBGWBCPBBDPXKN_BBBB 20190329

Statement for the Period March 1, 2019 to March 31, 2019
JOAN HOLM & STANLEY HOLM - Joint WROS TOD
Account Number: RQV-003632

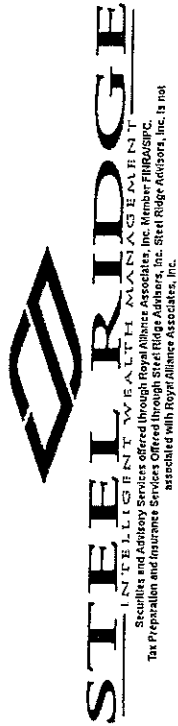
Account Overview

CHANGE IN ACCOUNT VALUE	Current Period	Year-to-Date
BEGINNING VALUE	\$32,622.52	\$19,349.82
Additions and Withdrawals	\$0.00	\$0.00
Income	\$5.21	\$27.91
Taxes, Fees and Expenses	\$0.00	\$0.00
Change in Value	(\$10,600.00)	\$2,650.00
ENDING VALUE (AS OF 03/31/19)	\$22,027.73	\$22,027.73

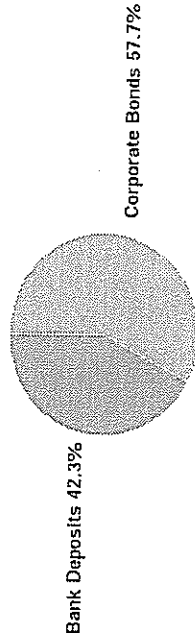
Refer to Miscellaneous Footnotes for more information on Change in Value.

INCOME	Current Period	Year-to-Date
TAXABLE		
Taxable Dividends	\$4.25	\$26.95
Taxable Interest	\$0.96	\$0.96
TOTAL TAXABLE	\$5.21	\$27.91
TOTAL INCOME	\$5.21	\$27.91

Taxable income is determined based on information available to NFS at the time the statement was prepared, and is subject to change. Final information on taxation of interest and dividends is available on Form 1099-Div, which is mailed in February of the subsequent year.



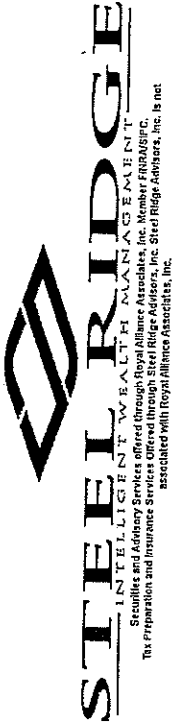
ACCOUNT ALLOCATION



	Percent	Prior Period	Current Period
Money Markets	0.0 %	\$9,302.52	\$0.00
Bank Deposits	42.3	\$0.00	\$9,307.73
Corporate Bonds	57.7	\$23,320.00	\$12,720.00
TOTAL	100.0 %	\$32,622.52	\$22,027.73

Account Allocation shows the percentage that each asset class represents of your total account value. Account Allocation for equities, fixed income, and other categories may include mutual funds and may be net of short positions. NFS has made assumptions concerning how certain mutual funds are allocated. Closed-end mutual funds and Exchange Traded Products (ETPs) listed on an exchange may be included in the equity allocation. The chart may not reflect your actual portfolio allocation. Consult your broker/dealer prior to making investment decisions.

Statement for the Period March 1, 2019 to March 31, 2019
JOAN HOLM & STANLEY HOLM - Joint WROS TOD
Account Number: RQV-003632



Account Overview *continued*

MESSAGES AND ALERTS

DRS - Direct Registration System Transfer Agent Fee Effective May 1, 2014, three transfer agents, Computershare, Wells Fargo, and Registrar and Transfer Company are implementing a \$15 transfer fee for each position moved into your brokerage account via book entry Direct Registration System - DRS. If the fee is charged by the agent, NFS will pass through the charge to the account. As a reminder, there is already an existing fee charged to accounts for outgoing DRS transfers. Please contact your Financial Advisor if you have any questions regarding this fee.

Beginning in January 2019, National Financial Services will enhance the end-investor statement with the following changes. Payee details will be displayed within Activity Sections Description field for transactions that have associated Payee information. A summary level total of Short Dividends charged will be reported within the Account Overview section. Change in Value of Your Portfolio graph will show minimum and maximum scaling on the Y axis, include Negative values and, use cleaner data points for information displayed.

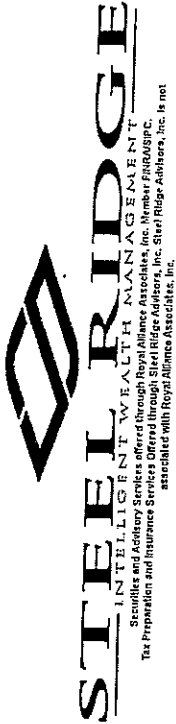
National Financial Services LLC NFS is required by the Securities Exchange Act of 1934 to provide certain financial information from its Statement of Financial Condition. At December 31, 2018, NFS, an affiliate of Fidelity Brokerage Services LLC, had net capital of \$4.012 million, which was 13.67 percent of aggregate debit items and exceeded its minimum requirement by \$3.425 million. To acquire the Statement of Financial Condition, log on to www.mybrokerageinfo.com. If you wish to obtain a copy of this document at no cost, please call 800-439-5627.

Royal Alliance Associates, Inc.

MN_CEBGWRCPBBDPXKN_BBBBBB 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
JOAN HOLM & STANLEY HOLM - Joint WROS TOD
Account Number: RQV-003632



Holdings

NFS-provided cost basis, realized gain (loss) and holding period information may not reflect all adjustments necessary for tax purposes. Please refer to Footnotes and Cost Basis Information at the end of this statement for more information.

For additional information regarding your holdings, please refer to the footnotes at the end of the statement.

CASH AND CASH EQUIVALENTS - 42.25% of Total Account Value

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income
Bank Deposits					
Bank deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). Funds used to purchase or sweep to a bank deposit are SIPC protected until deposited to a Program Bank at which time funds may be eligible for FDIC insurance. Customers are responsible for monitoring their total deposits at each Program Bank to determine the extent of available FDIC insurance. Refer to the Bank Deposit Detail section which appears later in this statement for information on the banks holding your deposits. If your account was established on the last business day of this month, your statement will not include a Bank Deposit Detail section.					
ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED)	QAGCQ CASH	9,307.73	\$1.00	\$9,307.73	
Estimated Annual Yield	0.19%				
Total Cash and Cash Equivalents				\$9,307.73	

HOLDINGS > FIXED INCOME - 57.75% of Total Account Value

For an explanation of fixed income pricing, please see the last page. Redemption schedule(s), bond rating(s), and other information are provided where available. If information does not appear regarding a particular investment, it is not available. The ratings on this statement are provided by Standard & Poor's and/or Moody's to rate the quality based on the respective rating agency's assessment. Ratings information from Standard & Poor's ("S&P") may not be reproduced. S&P credit ratings are statements of opinion and are not statements of fact or recommendations to purchase, hold, or sell securities, nor do they address the suitability of securities for investment purposes, and should not be relied on as investment advice. S&P does not guarantee the accuracy, completeness, timeliness or availability of any information, including ratings, and is not responsible for errors or omissions (negligent or otherwise). S&P gives no express or implied warranties, including but not limited to any warranties of merchantability or fitness for a particular purpose or use. S&P shall not be liable for any direct, indirect, incidental, exemplary, compensatory, punitive, special or consequential damages, costs, expenses, legal fees, or losses (including lost income or profits and opportunity costs) in connection with any use of ratings.

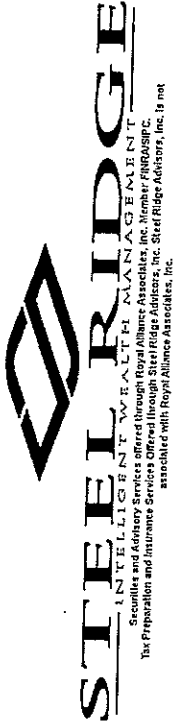
Description	Symbol/Cusip Account Type	Quantity	Estimated Price on 03/31/19	Estimated Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
Corporate Bonds							
SEARS HLDGS CORP NOTE CALL MAKE WHOLE 6.62500% 10/15/2018	812350AE6 CASH	106.000	\$12.00	\$12,720.00		\$98,852.00	
MOODY'S WR CPN PMT SEMI-ANNUAL ON OCT 15, APR 15							

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDPXKN_BBBB 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
JOAN HOLM & STANLEY HOLM - Joint WROS TOD
Account Number: RQV-003632



HOLDINGS > FIXED INCOME *continued*

Description	Symbol/Cusip Account Type	Quantity	Estimated Price on 03/31/19	Estimated Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
SEARS HLDGS CORP NOTE CALL MAKE WHOLE CONTINUOUSLY CALLABLE IN MONETARY DEFAULT Average Unit Cost \$93.26 Adjusted Cost Basis	812350AEG	<i>continued</i>					
Total Fixed Income		106,000		\$12,720.00		\$98,852.00 D	(\$86,132.00)
Total Securities				\$12,720.00		\$98,852.00	(\$86,132.00)
TOTAL PORTFOLIO VALUE				\$22,027.73		\$98,852.00	(\$86,132.00)

Activity

NFS-provided cost basis, realized gain (loss) and holding period information may not reflect all adjustments necessary for tax purposes. Please refer to Footnotes and Cost Basis Information at the end of this statement for more information.

PURCHASES, SALES, AND REDEMPTIONS

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
03/11/19	CASH	YOU SOLD	FIDELITY GOVT MMKT CAPITAL RESERVES CL FZAXX TO QAGCQ	(9,302.52)	\$9,302.52
Total Securities Sold					\$9,302.52

ACTIVITY > CORE FUND ACTIVITY

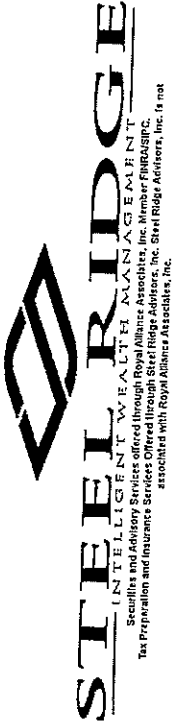
Settlement Date	Account Type	Transaction	Description	Quantity	Amount
03/11/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) QAGCQ IS LIQUID	9,302.52	(\$9,302.52)

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDPXKN_BBBBBB 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
JOAN HOLM & STANLEY HOLM - Joint WROS TOD
Account Number: RQV-003632



ACTIVITY > CORE FUND ACTIVITY *continued*

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
03/29/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) @ 1	4.25	(\$4.25)
03/29/19	CASH	REINVESTMENT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) NET INT REINVEST	0.96	(\$0.96)
TOTAL CORE FUND ACTIVITY					(\$9,307.73)

ACTIVITY > INCOME > TAXABLE INCOME

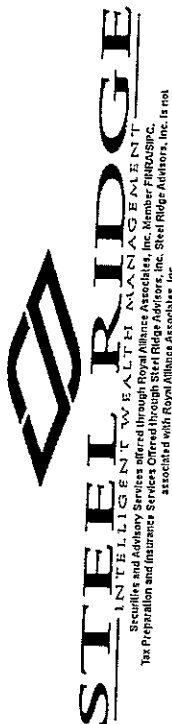
Settlement Date	Account Type	Transaction	Description	Quantity	Amount
Taxable Dividends					
03/29/19	CASH	DIVIDEND RECEIVED	FIDELITY GOVT MMKT CAPITAL RESERVES CL DIVIDEND RECEIVED		\$4.25
Total Taxable Dividends					\$4.25
Taxable Interest					
03/29/19	CASH	INTEREST RECEIVED	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED)		\$0.96
Total Taxable Interest					\$0.96
Total Taxable Income					\$5.21
TOTAL INCOME					\$5.21

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDPXXN_BBBB 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
 JOAN HOLM & STANLEY HOLM - Joint WROS TOD
 Account Number: RQV-003632



ACTIVITY > BANK DEPOSIT DETAIL

Bank deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). Customers are responsible for monitoring their total deposits at each Program Bank to determine the extent of available FDIC insurance. Your Ending Balance at each Program Bank as of the end of this statement period is shown below. If you participate in a Bank Deposit Sweep Program and also hold a Bank Deposit Direct Investment, the Bank Deposit Detail section lists banks and ending balances for both programs. Funds pending settlement reflect deposits to (credit) or withdrawals from (debit) a Program Bank. Subject to the terms of the applicable bank deposit disclosure, customers are reminded that funds are deposited to a Program Bank on the business day following the date that funds are credited to your account and until swept to a Program Bank, funds are covered by SIPC.

Bank	Beginning Balance	Ending Balance
Capital One Bank	\$0.00	\$0,303.48
Current Month's Pending Settlement		\$4.25
Total Bank Deposits	\$0.00	\$0,307.73

Footnotes and Cost Basis Information

Amortization, accretion and similar adjustments to cost basis have been provided for many fixed income securities (and some bond-like equities), however, they are not provided for certain types, such as short-term instruments, Unit Investment Trusts, foreign fixed income securities, or those that are subject to early prepayment of principal (pay downs). Where current year premium or acquisition premium amortization is provided, the prior years' cumulative amortization is reflected in the adjusted cost basis, but we cannot provide a breakdown or the total of such prior amortization amounts.

NFS is required to report certain cost basis and related information to the IRS on the Form 1099-B. Your official 1099-B forms for certain transactions will reflect which lots have been sold for tax purposes. To apply a specific identification cost basis method to 1099-B reporting, appropriate instructions must be on file with NFS or be received by NFS before the trade has settled. Absent such instructions, NFS determines cost basis at the time of sale based on its default methods of average cost for open-end mutual funds and first-in, first-out (FIFO) for all other (including ETFs) unless your broker dealer has elected to use another default method. NFS applies FIFO (or other disposal method, if applicable) based on its records, which may be different from yours. For transactions that are not subject to 1099-B cost basis reporting, you should refer to your trade confirmations and other applicable records to determine which lots were considered sold for tax purposes.

While NFS must meet IRS requirements with respect to certain information required to be reported to the IRS, NFS-provided cost basis, realized gain and loss, and holding period information may not reflect all adjustments necessary for your tax reporting purposes. NFS makes no warranties with respect to and specifically disclaims any liability arising out of a customer's use of, or any tax position taken in reliance upon, such information.

For investments in partnerships, NFS does not make any adjustments to cost basis information as the calculation of basis in such investments requires supplemental information from the partnership on its income and distributions during the period you held your investment. Partnerships usually provide this additional information on a Form K-1 issued by April 15th of the following year. Consult your tax advisor for further information.

D - Adjusted cost basis reflects any cumulative original issue discount, premium, or acquisition premium, and it assumes such amounts were amortized by the taxpayer over the life of the security from acquisition date through disposition date. For securities still held, maturity date was used instead of disposition date. Premium amortization was calculated using the yield-to-maturity method. Acquisition premium was calculated using the ratable accrual method. If applicable, adjusted cost basis reflects market discount accretion which was calculated using the straight-line method and was recognized at disposition date. Gain/loss displayed for this transaction was based on cost basis as adjusted for premium and discount as stated above and does not reflect any losses disallowed because of wash sales (if applicable). The adjusted cost basis may not reflect all adjustments necessary for tax reporting purposes and may also not apply if you are using an alternative amortization calculation method. Refer to IRS Publication 550, Investment Income and Expenses, for additional information.

If a sale, redemption or other disposition involved multiple tax lots, the transaction's totals may have been calculated using a combination of adjusted and unadjusted cost basis information. For lots where adjusted cost basis and its associated gain/loss are known, that was used, otherwise "regular" unadjusted cost basis and its associated gain/loss was used.

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
 NYSE, SIPC

MN_CEBGWBCPBBDDPKXN_BBBBB 20190329

Statement for the Period March 1, 2019 to March 31, 2019
JOAN HOLM & STANLEY HOLM - Joint WROS TOD
Account Number: RQV-003632



Miscellaneous Footnotes

CHANGE IN VALUE OF YOUR PORTFOLIO is the change in market value of your portfolio assets over the time period shown. The portfolio assets include the market value of all the securities in the account, plus insurance and annuity assets if applicable. The time frame of the graph is from account opening or September 2011, whichever is later, to the current period. Please note that large increases and/or declines in the value of the portfolio can be due to additions, distribution and/or performance.

CHANGE IN VALUE reflects appreciation or depreciation of your holdings due to price changes plus any activity not reflected within Additions and Withdrawals, Income, Taxes, Fees and Expenses, and Other Activity sections. Change in Value does not reflect activity related to assets in which NFS is not the custodian (e.g. Insurance and Annuities, Assets Held Away and Other Assets Held Away).

CALLABLE SECURITIES LOTTERY - When street name or bearer securities held for you are subject to a partial call or partial redemption by the issuer, NFS may or may not receive an allocation of called/redeemed securities by the issuer, transfer agent and/or depository. If NFS is allocated a portion of the called/redeemed securities, NFS utilizes an impartial lottery allocation system, in accordance with applicable rules, that randomly selects the securities within customer accounts that will be called/redeemed. NFS' allocations are not made on a pro rata basis and it is possible for you to receive a full or partial allocation, or no allocation. You have the right to withdraw uncalled fully paid securities at any time prior to the cutoff date and time established by the issuer, transfer agent and/or depository with respect to the partial call, and also to withdraw excess margin securities provided your account is not subject to restriction under Regulation T or such withdrawal will not cause an undermargined condition.

PRICING INFORMATION - Prices displayed are obtained from sources that may include pricing vendors, broker/dealers who clear through NFS and/or other sources. Prices may not reflect current fair market value and/or may not be readily marketable or redeemable at the prices shown.

FOREIGN EXCHANGE TRANSACTIONS - Some transaction types necessitate a foreign currency exchange (FX) in order to settle. FX transactions may be effected by Fidelity Forex, Inc. on a principal basis. Fidelity Forex, Inc., an affiliate of NFS, may impose a commission or markup on the prevailing interbank market price, which may result in a higher price to you. Fidelity Forex, Inc. may share a portion of any FX commission or markup with NFS. More favorable rates may be available through third parties not affiliated with NFS. The rate applicable to any transaction involving an FX is available upon request through your broker-dealer.

COST BASIS LEGISLATION - New IRS Rules will require National Financial Services to report cost basis and holding period information for the sale of shares of open end Mutual Fund holdings purchased on or after January 1, 2012 on Form 1099-B. National Financial Services determines the cost basis for all shares of open end mutual funds using a default method of average cost. Alternatively, account owners or their brokers and advisors can instruct National Financial Services to determine the cost basis for shares of open end mutual funds by 1) settling up their non-retirement accounts with one of our eleven tax lot disposal methods available to investors or 2) identifying specific tax lots to sell at the time of a transaction. Contact your broker or advisor to learn more about the cost basis tracking of your holdings.

Royal Alliance Associates, Inc.

MN_CEEGWBCPBBDPXXKN_BBBBB 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

GLOSSARY Short Account Balances-If you have sold securities under the short sale rule, we have, in accordance with regulations, segregated the proceeds from such transactions in your Short Account. Any market increases or decreases from such transactions in your Short Account. Any increase or decrease from the original sale price will be marked to the market and will be transferred to your Margin Account on a weekly basis. **Market Value** - The Total Market Value has been calculated out to 9 decimal places, however, the individual unit price is displayed in 5 decimal places. The Total Market Value represents prices obtained from various sources, may be impacted by the frequency in which such prices are reported and such prices are not guaranteed. Prices received from pricing vendors are generally based on current market quotes, but when such quotes are not available the pricing vendors use a variety of techniques to estimate value. These estimates, particularly for fixed income securities, may be based on certain minimum principal amounts (e.g. \$1 million) and may not reflect all of the factors that affect the value of the security, including liquidity risk. The prices provided are not firm bids or offers. Certain securities may reflect "N/A" or "unavailable" where the price for such security is generally not available from a pricing source. The Market Value of a security, including those priced at par value, may differ from its purchase price and may not

CUSTOMER SERVICE: Please review your statement and report any inaccuracy or discrepancy immediately by calling the telephone number of your broker-dealer reflected on the front of this statement. Reports of any inaccuracy or discrepancy regarding your brokerage account or the activity therein should be directed to your broker-dealer at the telephone number and address reflected on the front of this statement and National Financial Services LLC ("NFS").

NFS carries your brokerage account and acts as your custodian for funds and securities that are deposited with NFS by you or your broker-dealer. In addition to your initial contact with your broker-dealer you may contact NFS at (800) 801-9942. Any oral communications regarding inaccuracies or discrepancies should be reconfirmed in writing to protect your rights, including those under the Securities Investor Protection Act ("SIPA"). When contacting either your broker-dealer or NFS, remember to include your entire brokerage account number to ensure a prompt reply.

ADDITIONAL INFORMATION Free credit balances ("FCB") are funds payable to you on demand. FCB are subject to open commitments such as uncleared checks and exclude proceeds from sales of certificated securities without delivery of the certificate. If your FCB is swept to a core position, you can liquidate the core position and have the proceeds sent to you or held in your account subject to the terms of your account agreement. Required rule 10b-10(a) information not contained herein will be provided on written request. Fidelity may use this free credit balance in connection with its business, subject to applicable law.

Credit Adjustment Program. Accountholders receiving payments in lieu of qualified dividends may not be eligible to receive credit adjustments intended to help cover additional associated federal tax burdens. NFS reserves the right to deny the adjustment to any accountholder and to amend or terminate the credit adjustment program.

Options Customers. Each transaction confirmation previously delivered to you contains full information about commissions and other charges. If you require further information, please contact your broker-dealer.

Assignments of American and European-style options are allocated among customer short positions pursuant to a random allocation procedure, a description of which is available upon request. Short positions in American-style options are liable for assignment at any time. The writer of a European-style option is subject to exercise assignment only during the exercise period. You should advise your broker-dealer promptly of any material change in your investment objectives or financial situation. **Splits, Dividends, and Interest.** Expected stock split, next dividend payable, and next interest payable information has been provided by third parties and may be subject to change. Information for certain securities may be missing if not received from third parties in time for printing. NFS is not responsible for inaccurate, incomplete, or missing information. Please consult your broker-dealer for more information about expected stock split, next dividend payable, and next interest payable for certain securities.

Equity Dividend Reinvestment Customers. Shares credited to your brokerage account resulted from transactions effected as agent by either: 1) Your broker-dealer for your investment account, or 2) through the Depository Trust Company (DTC) dividend reinvestment program. For broker-dealer effected transactions, the time of the transactions, the exchange upon which these transactions occurred and the name of the person from whom the security was purchased will be furnished upon written request. NFS may have acted as market maker in effecting trades in "over-the-counter" securities.

Retirement Contributions/Distributions. A summary of retirement contributions/distributions is displayed for you in the activity summary section of your statement. **Income Reporting.** NFS reports earnings from investments in Traditional IRAs, Rollover IRAs, SEP-IRAs and, Keoghs as tax-deferred income. Earnings from Roth IRAs are reported as tax-free income, since distributions may be tax-free after meeting the 5 year aging requirement and certain other conditions. **A financial statement** of NFS is available for your personal inspection at its office or a copy of it will be mailed to you upon your written request.

Statement Mailing. NFS will deliver statements by mail or, if applicable, notify you by e-mail of your statement's availability, if you had transactions that affected your cash balances or security positions held in your account(s) during the last monthly reporting period. At a minimum, all brokerage customers will receive quarterly statements (at least four times per calendar year) as long as their accounts contain a cash or securities balance.

Loads and Fees. In connection with (i) access to, purchase or redemption of, and/or maintenance of positions in mutual funds and other investment products ("funds") or (ii) infrastructure needed to support such funds, some funds, or their investment affiliates, pay your introducing broker dealer and/or NFS sales loads and 12b-1 fees

Royal Alliance Associates, Inc.

MN_CEBGWBCPBRDPXKN_BBBB 20190329

closely reflect the value at which the security may be sold or purchased based on various market factors. Investment decisions should be made only after consulting your broker-dealer.

Estimated Annual Income (EAI) & Estimated Yield (EY) - EAI for fixed income is calculated using the coupon rate. For all other securities, EAI is calculated using an indicated annual dividend (IAD). The IAD is an estimate of a security's dividend payments for the next 12 months calculated based on prior and/or declared dividends for that security. EY reflects only the income generated by an investment and not changes in its price which may fluctuate. Interest and dividend rates are subject to change at any time and may be affected by current and future economic, political and business conditions. EAI and EY are estimates only and may include return of principal and/or capital gains, which would render them overstated. EAI and EY are provided for informational purposes only and should not be used or relied on for making investment, trading or tax decisions. EAI and EY are based on data obtained from information providers believed to be reliable, but no assurance can be made as to accuracy, timeliness or completeness.

described in the prospectus as well as additional compensation for shareholder services, start-up fees, infrastructure support and maintenance, and other programs. Additional information about the source(s) and amount(s) of compensation as well as other remuneration received by your introducing broker dealer and/or NFS will be furnished to you upon written request. At time of purchase fund shares may be assigned a load, transaction fee or no transaction fee status. At time of sale, any fees applicable to your transaction will be assessed based on the status assigned to the shares at time of purchase. **Margin.** If you have applied for margin privileges and been approved, you may borrow money from NFS in exchange for pledging the assets in your account as collateral for any outstanding margin loan. The amount you may borrow is based on the value of securities in your margin account, which is identified on your statement. If you have a margin account, this is a combined statement of your margin account and special memorandum account other than your non-purpose margin accounts maintained for you under Section 220.5 of Regulation T issued by the Board of Governors of the Federal Reserve Board. The permanent record of the separate account, as required by Regulation T, is available for your inspection upon request. **NYSE and FINRA.** All transactions are subject to the constitution, rules, regulations, customs, usages, rulings and interpretations of the exchange market and its clearing house, if any, where the transactions are executed, and of the New York Stock Exchange (NYSE) and of the Financial Industry Regulatory Authority ("FINRA"). The FINRA requires that we notify you in writing of the availability of an investor brochure that includes information describing FINRA Regulation's BrokerCheck Program ("Program"). To obtain a BrokerCheck Program Hotline at (800) 289-9999 or access the FINRA's web site at www.finra.org. **FINRA Rule 4311** requires that your broker-dealer and NFS allocate between them certain functions regarding the administration of your brokerage account. The following is a summary of the allocation services performed by your broker-dealer and NFS. A more complete description is available upon request. Your broker-dealer is responsible for: (1) obtaining and verifying brokerage account information and documentation, (2) opening, approving and monitoring your brokerage account, (3) transmitting timely and accurate orders and other instructions to NFS with respect to your brokerage account, (4) determining the suitability of investment recommendations and advice, (5) operating, and supervising your brokerage account and its own activities in compliance with applicable laws and regulations including compliance with margin rules pertaining to your margin account, if applicable, and (6) maintaining required books and records for the services that it performs. **NFS** shall, at the direction of your broker-dealer: (1) execute, clear and settle transactions processed through NFS by your broker-dealer, (2) prepare and send transaction confirmations and periodic statements of your brokerage account (unless your broker-dealer has undertaken to do so). Certain securities pricing and descriptive information may be provided by your broker-dealer or obtained from third parties deemed to be reliable, however, this information has not been verified by NFS, (3) act as custodian for funds and securities received by NFS on your behalf, (4) follow the instructions of your broker-dealer with respect to transactions and the receipt and delivery of funds and securities for your brokerage account, and (5) extend margin credit for purchasing or carrying securities on margin. Your broker-dealer is responsible for ensuring that your brokerage account is in compliance with federal, industry and NFS margin rules, and for advising you of margin requirements. NFS shall maintain the required books and records for the services it performs. **Securities in accounts carried by NFS** are protected in accordance with the Securities Investor Protection Corporation ("SIPC") up to \$500,000. The \$500,000 total amount of SIPC protection is inclusive of up to \$250,000 protection for claims for cash, subject to periodic adjustments for inflation in accordance with terms of the SIPC statute and approval by SIPC's Board of Directors. NFS also has arranged for coverage above these limits. Neither coverage protects against a decline in the market value of securities, nor does either coverage extend to certain securities that are considered ineligible for coverage. For more details on SIPC, or to request a SIPC brochure, visit www.sipc.org or call 1-202-371-8300. Funds used to purchase or sweep to a bank deposit are SIPC protected until deposited to a Program Bank at which time funds may be eligible for FDIC insurance. Assets Held Away, commodities, unregistered investment contracts, futures accounts, loaned securities and other investments may not be covered. Precious metals are not covered by SIPC protection. Mutual funds and/or other securities are not backed or guaranteed by any bank, nor are they insured by the FDIC and involve investment risk including possible loss of principal.

End of Statement

7222397.0

Account carried with National Financial Services LLC, Member
NYSE, SIPC

This page is left intentionally blank

UNITED STATES BANKRUPTCY COURT
SOUTHERN DISTRICT OF NEW YORK

X
:
:
In Re : Chapter 11
Case No. 18-23538 (RDD)

SEARS HOLDING CORPORATION, et al.,

Debtors

(Jointly Administered)

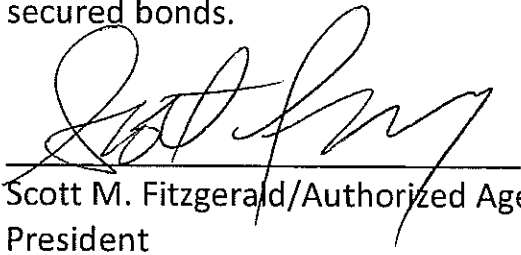
X

Response to objection by Sears Holding to Proofs of Claims (Reclassifying Claims)

Claim # 18388/USD 155,000.

Marilyn Stahl
22 Golden Spruce Drive
Calverton, NY 11933

Please do not allow Sears Corporation to (i)reclassify to general unsecured claims,
as I own second lien PIK notes and purchased these specifically based they were
secured bonds.



Scott M. Fitzgerald/Authorized Agent
President

11/5/2021

Steel Ridge Advisors
1377 Motor Pkwy, Suite 204
Islandia, NY 11749
sfitzgerald@steelridgeadvisors.com
(631) 353-0003

Contact 844.384.4460 Client Login



Sears Holdings Corporation (18-23538)

[CHANGE CASE](#)

[Case Info](#) [Docket](#) [Claims](#) [Submit a Claim](#) [Submit Inquiry](#)

[Search Docket](#) [Search Claim](#)

Schedule	Claim #	Filed Date	Creditor Name	Debtor Name	Claim Value
	18388	04/10/2019	Stahl, Marilyn	Sears Holdings Corporation	\$ 155,000.00

Select scope

Claim Number(s)(e.g. 1,3,5-7)

Schedule Number

Creditor name

Debtor(s)

Select Classification

Select Search Operator

Amount

Date from

Date to

-

[Search Claim](#)

[Reset](#)

Creditor Data Details for Claim # 18388

Creditor

Date Filed
04/10/2019

Debtor Name
Sears Holdings Corporation
Schedule Number

Claim Number
18388
Proof of Claim
☐ View PDF ☐ Email PDF

	Schedule Amount C*UD*	Asserted Claim Amount C*UF*	Current Claim Status Claim Value
General Unsecured			
Priority			
<input checked="" type="checkbox"/> Secured		\$155,000.00	\$155,000.00 - Asserted
503(b)(9) Admin Priority			
Admin Priority			
Total	\$0.00	\$155,000.00	\$155,000.00

*C=Contingent, U=Unliquidated, D=Disputed, F=Foreign

Prime Clerk maintains this website for the public's convenience and for general informational purposes only. Anyone using this website is cautioned NOT to rely on any information contained on this website, and any user of this website should not take or refrain from taking any action based upon anything included or not included on this website. We are not a law firm or a substitute for

[Open in new window](#)

Page 1 of 1

20

View 1 - 1 of 1

[Home](#) [Leadership](#) [Disclaimer](#) [Terms & Conditions](#)

©2016 Prime Clerk. All rights reserved.

Contact \$44,384,446 Client Login



Sears Holdings Corporation (18-23538)

[CHANGE CASE](#)

[Case Info](#) [Docket](#) [Claims](#) [Submit a Claim](#) [Submit Inquiry](#)

[Search Docket](#) [Search Claim](#)

Schedule	Claim #	Filed Date	Creditor Name	Debtor Name	Claim value
	18388*	04/10/2019	Stahl, Marilyn	Sears Holdings Corporation	\$ 155,000.00

Select scope

Claim Number(s)(e.g. 1,3,5-7)

Schedule Number

Creditor name

Debtor(s)

Select Classification

Select Search Operator

Amount

Date from

Date to

-

[Search Claim](#)

[Reset](#)

Creditor Data Details for Claim # 18388

Creditor
Stahl, Marilyn

Date Filed
04/10/2019

Debtor Name
Sears Holdings Corporation
Schedule Number

Claim Number
18388
Proof of Claim
[View PDF](#) [Email PDF](#)

Schedule	Amount CUD*	Asserted Claim Amount CUF*	Current Claim Status Claim Value
General Unsecured		\$155,000.00	\$155,000.00 Asserted
Priority			
Secured			
503(b)(9) Admin Priority			
Admin Priority			
Total	\$0.00	\$155,000.00	\$155,000.00

*C=Contingent, U=Unliquidated, D=Disputed, F=Foreign

Prime Clerk maintains this website for the public's convenience and for general informational purposes only. Anyone using this website is cautioned NOT to rely on any information contained on this Website, and any user of this website should not take or refrain from taking any action based upon anything included or not included on this website. We are not a law firm or a substitute for

[Open in new window](#)

Page 1 of 1

20

View 1 of 1

[Home](#) [Leadership](#) [Disclaimer](#) [Terms & Conditions](#)

©2016 Prime Clerk. All rights reserved.

Fill in this information to identify the case (Select only one Debtor per claim form):

<input checked="" type="checkbox"/> Sears Holdings Corporation (18-23538)	<input type="checkbox"/> Kmart Corporation (18-23549)	<input type="checkbox"/> Sears, Roebuck de Puerto Rico, Inc. (18-23561)	<input type="checkbox"/> MyGofer LLC (18-23573)	<input type="checkbox"/> Kmart.com LLC (18-23585)
<input type="checkbox"/> Sears, Roebuck and Co. (18-23537)	<input type="checkbox"/> MaxServ, Inc. (18-23550)	<input type="checkbox"/> SYW Relay LLC (18-23562)	<input type="checkbox"/> Sears Brands Business Unit Corporation (18-23574)	<input type="checkbox"/> Sears Brands Management Corporation (18-23586)
<input type="checkbox"/> Kmart Holding Corporation (18-23539)	<input type="checkbox"/> Private Brands, Ltd. (18-23551)	<input type="checkbox"/> Wally Labs LLC (18-23563)	<input type="checkbox"/> Sears Holdings Publishing Company, LLC (18-23575)	<input type="checkbox"/> SHC Licensed Business LLC (18-23616)
<input type="checkbox"/> Kmart Operations LLC (18-23540)	<input type="checkbox"/> Sears Development Co. (18-23552)	<input type="checkbox"/> Big Beaver of Florida Development, LLC (18-23564)	<input type="checkbox"/> Kmart of Michigan, Inc. (18-23576)	<input type="checkbox"/> SHC Promotions LLC (18-23630)
<input type="checkbox"/> Sears Operations LLC (18-23541)	<input type="checkbox"/> Sears Holdings Management Corporation (18-23553)	<input type="checkbox"/> California Builder Appliances, Inc. (18-23565)	<input type="checkbox"/> SHC Desert Springs, LLC (18-23577)	<input type="checkbox"/> SRe Holding Corporation (19-22301)
<input type="checkbox"/> ServiceLive, Inc. (18-23542)	<input type="checkbox"/> Sears Home & Business Franchises, Inc. (18-23554)	<input type="checkbox"/> Florida Builder Appliances, Inc. (18-23566)	<input type="checkbox"/> SOE, Inc. (18-23578)	
<input type="checkbox"/> A&E Factory Service, LLC (18-23543)	<input type="checkbox"/> Sears Home Improvement Products, Inc. (18-23555)	<input type="checkbox"/> KBL Holding Inc. (18-23567)	<input type="checkbox"/> StarWest, LLC (18-23579)	
<input type="checkbox"/> A&E Home Delivery, LLC (18-23544)	<input type="checkbox"/> Sears Insurance Services, L.L.C. (18-23556)	<input type="checkbox"/> KLC, Inc. (18-23568)	<input type="checkbox"/> STI Merchandising, Inc. (18-23580)	
<input type="checkbox"/> A&E Lawn & Garden, LLC (18-23545)	<input type="checkbox"/> Sears Procurement Services, Inc. (18-23557)	<input type="checkbox"/> Sears Protection Company (Florida), L.L.C. (18-23569)	<input type="checkbox"/> Troy Coolidge No. 13, LLC (18-23581)	
<input type="checkbox"/> A&E Signature Service, LLC (18-23546)	<input type="checkbox"/> Sears Protection Company (18-23558)	<input type="checkbox"/> Kmart of Washington LLC (18-23570)	<input type="checkbox"/> BlueLight.com, Inc. (18-23582)	
<input type="checkbox"/> FBA Holdings Inc. (18-23547)	<input type="checkbox"/> Sears Protection Company (PR) Inc. (18-23559)	<input type="checkbox"/> Kmart Stores of Illinois LLC (18-23571)	<input type="checkbox"/> Sears Brands, L.L.C. (18-23583)	
<input type="checkbox"/> Innovel Solutions, Inc. (18-23548)	<input type="checkbox"/> Sears Roebuck Acceptance Corp. (18-23560)	<input type="checkbox"/> Kmart Stores of Texas LLC (18-23572)	<input type="checkbox"/> Sears Buying Services, Inc. (18-23584)	

Proof of Claim

04/16

Read the instructions before filling out this form. This form is for making a claim for payment in a bankruptcy case. Do not use this form to make a request for payment of an administrative expense, other than a claim entitled to administrative priority pursuant to 11 U.S.C. § 503(b)(9). Make such a request according to 11 U.S.C. § 503.

Filers must leave out or redact information that is entitled to privacy on this form or on any attached documents. Attach redacted copies of any documents that support the claim, such as promissory notes, purchase orders, invoices, itemized statements of running accounts, contracts, judgments, mortgages, and security agreements. Do not send original documents; they may be destroyed after scanning. If the documents are not available, explain in an attachment.

A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

Fill in all the information about the claim as of the date the case was filed. That date is on the notice of bankruptcy (Form 309) that you received.

Part 1: Identify the Claim

1. Who is the current creditor?	MARILYN STAHL Name of the current creditor (the person or entity to be paid for this claim) Other names the creditor used with the debtor _____	
2. Has this claim been acquired from someone else?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. From whom? _____	
3. Where should notices and payments to the creditor be sent? Federal Rule of Bankruptcy Procedure (FRBP) 2002(g)	Where should notices to the creditor be sent? 22 GOLDEN SPRUCE DRIVE CALVERTON, NY 11933 Contact phone <u>631-727-7312</u> Contact email <u>mstahl22@optonline.net</u>	Where should payments to the creditor be sent? (if different) NATIONAL FINANCIAL SERVICES C/O ROYAL ALLIANCE 10 EXCHANGE PLAZA SUITE 1410 JERSEY CITY, NJ 07302 RQV-003738 Contact phone <u>631-353-0003</u> Contact email <u>sfitzgerald@steelridgeadvisors.com</u>
4. Does this claim amend one already filed?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. Claim number on court claims registry (if known) _____ Filed on _____ MM / DD / YYYY	
5. Do you know if anyone else has filed a proof of claim for this claim?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. Who made the earlier filing? _____	

Part 2: Give Information About the Claim as of the Date the Case Was Filed

6. Do you have any number you use to identify the debtor? ☐ No ☒ Yes. Last 4 digits of the debtor's account or any number you use to identify the debtor: 8 4 0 7

7. How much is the claim? \$ 155,000.00 Does this amount include interest or other charges?
☒ No
☐ Yes. Attach statement itemizing interest, fees, expenses, or other charges required by Bankruptcy Rule 3001(c)(2)(A).

8. What is the basis of the claim? Examples: Goods sold, money loaned, lease, services performed, personal injury or wrongful death, or creditcard.
Attach redacted copies of any documents supporting the claim required by Bankruptcy Rule 3001(c).
Limit disclosing information that is entitled to privacy, such as health care information.

9. Is all or part of the claim secured? ☐ No ☒ Yes. The claim is secured by a lien on property.
Nature of property:
☐ Real estate. If the claim is secured by the debtor's principal residence, file a *Mortgage Proof of Claim Attachment* (Official Form 410-A) with this *Proof of Claim*.
☐ Motor vehicle
☒ Other. Describe: SEARS HLDGS CORP. 6 5/8% SENIOR SECURED NOTE Debt
Basis for perfection: 10/15/18
Attach redacted copies of documents, if any, that show evidence of perfection of a security interest (for example, a mortgage, lien, certificate of title, financing statement, or other document that shows the lien has been filed or recorded.)
Value of property: \$ _____
Amount of the claim that is secured: \$ _____
Amount of the claim that is unsecured: \$ _____ (The sum of the secured and unsecured amounts should match the amount in line 7.)
Amount necessary to cure any default as of the date of the petition: \$ _____
Annual Interest Rate (when case was filed) _____ %
☐ Fixed
☐ Variable

10. Is this claim based on a lease? ☒ No ☐ Yes. Amount necessary to cure any default as of the date of the petition. \$ _____

11. Is this claim subject to a right of setoff? ☒ No ☐ Yes. Identify the property: _____

12. Is all or part of the claim entitled to priority under 11 U.S.C. § 507(a)? ☒ No
☐ Yes. Check one:

A claim may be partly priority and partly nonpriority. For example, in some categories, the law limits the amount entitled to priority.

☐ Domestic support obligations (including alimony and child support) under 11 U.S.C. § 507(a)(1)(A) or (a)(1)(B). Amount entitled to priority \$ _____

☐ Up to \$2,850* of deposits toward purchase, lease, or rental of property or services for personal, family, or household use. 11 U.S.C. § 507(a)(7). \$ _____

☐ Wages, salaries, or commissions (up to \$12,850*) earned within 180 days before the bankruptcy petition is filed or the debtor's business ends, whichever is earlier. 11 U.S.C. § 507(a)(4). \$ _____

☐ Taxes or penalties owed to governmental units. 11 U.S.C. § 507(a)(8). \$ _____

☐ Contributions to an employee benefit plan. 11 U.S.C. § 507(a)(5). \$ _____

☐ Other. Specify subsection of 11 U.S.C. § 507(a)() that applies. \$ _____

* Amounts are subject to adjustment on 4/01/19 and every 3 years after that for cases begun on or after the date of adjustment.

13. Is all or part of the claim entitled to administrative priority pursuant to 11 U.S.C. § 503(b)(9)? ☒ No
☐ Yes. Indicate the amount of your claim arising from the value of any goods received by the Debtor within 20 days before the date of commencement of the above case, in which the goods have been sold to the Debtor in the ordinary course of such Debtor's business. Attach documentation supporting such claim. \$ _____

Part 3: Sign Below

The person completing this proof of claim must sign and date it. FRBP 9011(b).

If you file this claim electronically, FRBP 5005(a)(2) authorizes courts to establish local rules specifying what a signature is.

A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

Check the appropriate box:

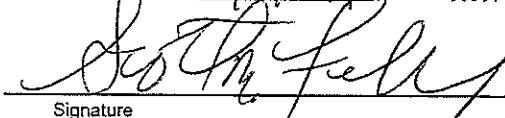
- ☐ I am the creditor.
☒ I am the creditor's attorney or authorized agent.
☐ I am the trustee, or the debtor, or their authorized agent. Bankruptcy Rule 3004.
☐ I am a guarantor, surety, endorser, or other codebtor. Bankruptcy Rule 3005.

I understand that an authorized signature on this *Proof of Claim* serves as an acknowledgment that when calculating the amount of the claim, the creditor gave the debtor credit for any payments received toward the debt.

I have examined the information in this *Proof of Claim* and have a reasonable belief that the information is true and correct.

I declare under penalty of perjury that the foregoing is true and correct.

Executed on date 04/09/2019 (mm/dd/yyyy)


Signature

Print the name of the person who is completing and signing this claim:

Name of the person who is completing and signing this claim:

Name SCOTT M FITZGERALD
First name Middle name Last name

Title PRESIDENT

Company STEEL RIDGE ADVISORS
Identify the corporate servicer as the company if the authorized agent is a servicer.

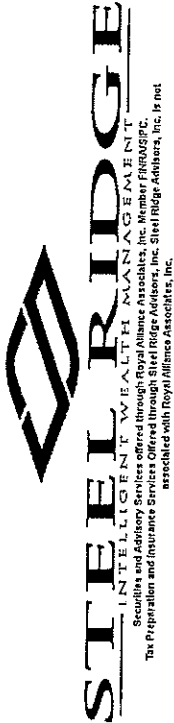
Address 1377 MOTOR PKWY, SUITE 204
Number Street

ISLANDIA NY 11749
City State ZIP Code

Contact phone 631-353-0003 Email sfitzgerald@steelridgeadvisors.com

ENV# CEBGWBCPBBDPXMV BBBBC
ROYAL ALLIANCE ASSOCIATES INC.
10 EXCHANGE PLACE, SUITE 1410
JERSEY CITY, NJ 07302

MARILYN STAHL
22 GOLDEN SPRUCE DRIVE
CALVERTON NY 11933

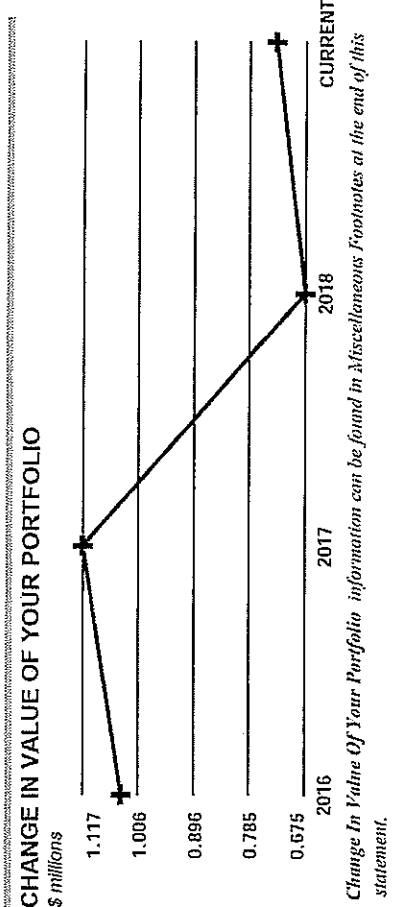


STATEMENT FOR THE PERIOD MARCH 1, 2019 TO MARCH 31, 2019

MARILYN STAHL - Individual
Account Number: RQV-003738

YOUR FINANCIAL ADVISOR IS:
SCOTT FITZGERALD
RR#: AZP
For questions about your accounts:
Local: 631 353 0003
In-State: 631 353 0003
National: 631 353 0003

TOTAL VALUE OF YOUR PORTFOLIO
\$734,484.64
Your portfolio contains unpriced positions. Refer to Holdings in this statement for more information.



Statement for the Period March 1, 2019 to March 31, 2019

MARILYN STAHL - Individual
Account Number: RQV-003738

Account Overview

CHANGE IN ACCOUNT VALUE	Current Period	Year-to-Date
BEGINNING VALUE	\$741,803.65	\$674,649.88
Additions and Withdrawals	(\$4,500.00)	(\$13,500.00)
Income	\$1,447.30	\$2,744.92
Taxes, Fees and Expenses	\$0.00	\$0.00
Change in Value	(\$4,266.31)	\$70,589.84
ENDING VALUE (AS OF 03/31/19)	\$734,484.64	\$734,484.64
Total Accrued Interest	\$166.67	
Total Pending Accrued Dividends	\$50.60	
Ending Value with Accrued Interest and Dividends	\$734,701.91	

Refer to Miscellaneous Footnotes for more information on Change in Value.

Pending dividends and stock distributions reflect projected values only, are subject to change and may not represent the actual amount, if any, that you may receive. This information is provided for informational purposes only and should not be relied on for tax reporting or other purposes.

INCOME	Current Period	Year-to-Date
TAXABLE		
Taxable Dividends	\$1,205.45	\$1,795.05
Taxable Interest	\$10.63	\$10.63
TOTAL TAXABLE	\$1,216.08	\$1,805.68
NON-TAXABLE		
Non-Taxable Dividends	\$205.45	\$839.22
Muni Tax Exempt Interest	\$25.77	\$100.02
TOTAL NON-TAXABLE	\$231.22	\$939.24
TOTAL INCOME	\$1,447.30	\$2,744.92

Taxable income is determined based on information available to NFS at the time the statement was prepared, and is subject to change. Final information on taxation of interest and dividends is available on Form 1099-Div, which is mailed in February of the subsequent year.

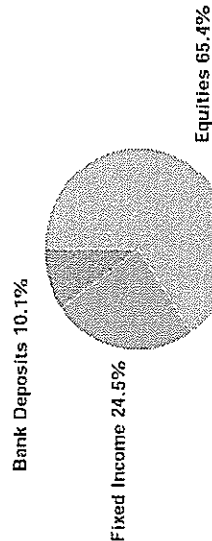
Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDPXMV_BBBC 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC



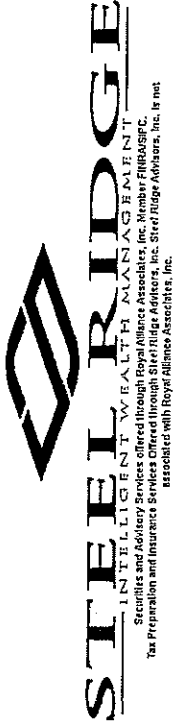
ACCOUNT ALLOCATION



	Percent	Prior Period	Current Period
Money Markets	0.0 %	\$77,130.32	\$0.00
Bank Deposits	10.1	\$0.00	\$74,077.62
Equities	65.4	\$471,287.73	\$480,346.59
Fixed Income	24.5	\$193,385.60	\$180,060.43
TOTAL	100.0 %	\$741,803.65	\$734,484.64

Account Allocation shows the percentage that each asset class represents of your total account value. Account Allocation for equities, fixed income, and other categories may include mutual funds and may be net of short positions. NFS has made assumptions concerning how certain mutual funds are allocated. Closed-end mutual funds and Exchange Traded Products (ETPs) listed on an exchange may be included in the equity allocation. The chart may not reflect your actual portfolio allocation. Consult your broker/dealer prior to making investment decisions.

Statement for the Period March 1, 2019 to March 31, 2019
MARILYN STAHL - Individual
Account Number: RQV-003738



Account Overview *continued*

REALIZED GAIN (LOSS)	Current Period	Year-to-Date
Short Term Gain	\$0.00	\$0.00
Short Term Loss	\$0.00	\$0.00
Disallowed Short Term Loss	\$0.00	\$0.00
TOTAL SHORT TERM GAIN (LOSS)	\$0.00	\$0.00
Long Term Gain	\$0.00	\$155.24
Long Term Loss	\$0.00	\$0.00
Disallowed Long Term Loss	\$0.00	\$0.00
TOTAL LONG TERM GAIN (LOSS)	\$0.00	\$155.24

NFS-provided cost basis, realized gain (loss) and holding period information may not reflect all adjustments necessary for your tax reporting purposes. Please refer to Footnotes and Cost Basis Information at the end of this statement for more information.

MESSAGES AND ALERTS

DRS - Direct Registration System Transfer Agent Fee Effective May 1, 2014, three transfer agents, Computershare, Wells Fargo, and Registrar and Transfer Company are implementing a \$15 transfer fee for each position moved into your brokerage account via book entry Direct Registration System - DRS. If the fee is charged by the agent, NFS will pass through the charge to the account. As a reminder, there is already an existing fee charged to accounts for outgoing DRS transfers. Please contact your Financial Advisor if you have any questions regarding this fee.

Beginning in January 2019, National Financial Services will enhance the end-investor statement with the following changes. Payee details will be displayed within Activity Sections Description field for transactions that have associated Payee information. A summary level total of Short Dividends charged will be reported within the Account Overview section. Change in Value of Your Portfolio graph will show minimum and maximum scaling on the Y axis, include Negative values and, use clearer data points for information displayed.

National Financial Services LLC NFS is required by the Securities Exchange Act of 1934 to provide certain financial information from its Statement of Financial Condition. At December 31, 2018, NFS, an affiliate of Fidelity Brokerage Services LLC, had net capital of \$4.012 million, which was 13.67 percent of aggregate debit items and exceeded its minimum requirement by \$3.425 million. To acquire the Statement of Financial Condition, log on to www.nybrokerageinfo.com. If you wish to obtain a copy of this document at no cost, please call 800-439-5627.

Royal Alliance Associates, Inc.

MN_CEBGWBCPBDDPXMY_BBBC 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019

MARILYN STAHL - Individual
Account Number: RQV-003738

Holdings

NFS-provided cost basis, realized gain (loss) and holding period information may not reflect all adjustments necessary for tax purposes. Please refer to Footnotes and Cost Basis Information at the end of this statement for more information.

AI (Accrued Interest) - Represents interest accumulated since the last coupon date, but not yet paid by the issuer or received by NFS. There is no guarantee that AI will be paid by the issuer.

For additional information regarding your holdings, please refer to the footnotes at the end of the statement.

CASH AND CASH EQUIVALENTS - 10.09% of Total Account Value

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Unrealized Gain (Loss)
Bank Deposits						
Bank deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). Funds used to purchase or sweep to a bank deposit are SIPC protected until deposited to a Program Bank at which time funds may be eligible for FDIC insurance. Customers are responsible for monitoring their total deposits at each Program Bank to determine the extent of available FDIC insurance. Refer to the Bank Deposit Detail section which appears later in this statement for information on the banks holding your deposits. If your account was established on the last business day of this month, your statement will not include a Bank Deposit Detail section.						
ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED)	QAGCQ CASH	74,077.62	\$1.00	\$74,077.62		
Estimated Annual Yield 0.26%						
Total Cash and Cash Equivalents				\$74,077.62		

HOLDINGS > EQUITIES - 31.34% of Total Account Value

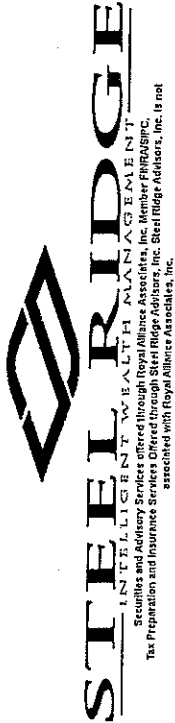
Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
Equity							
AMERICAN INTL GROUP INC COM NEW	AIG CASH	108	\$43.06	\$4,650.48	\$138.24	\$6,100.84	(\$1,450.36)
Estimated Yield 2.97%							
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost \$56.49							
FACEBOOK INC-CLASS A	FB CASH	353	\$166.69	\$58,841.57		\$20,836.26	\$38,005.31
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost \$59.03							

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEBGWBCPBBDPXMY_BBBBC 20190329

Statement for the Period March 1, 2019 to March 31, 2019
MARILYN STAHL - Individual
Account Number: RQV-003738



HOLDINGS > EQUITIES *continued*

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
HOME DEPOT INC COM	HD	268	\$191.89	\$51,426.52	\$1,457.92	\$17,805.33 T	\$33,821.19
Estimated Yield 2.83%	CASH						
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost \$56.44							
INTEL CORP COM USD0.001	INTC	100	\$53.70	\$5,370.00	\$126.00	\$3,257.36 T	\$2,112.64
Estimated Yield 2.34%	CASH						
Dividend Option Cash							
Capital Gain Option Cash							
Next Dividend Payable: 05/01/19							
Average Unit Cost \$32.57							
LOWE S COMPANIES INC COM USD0.50	LOW	212	\$109.47	\$23,207.64	\$407.04	\$10,251.16	\$12,956.48
Estimated Yield 1.75%	CASH						
Dividend Option Cash							
Capital Gain Option Cash							
Next Dividend Payable: 05/08/19							
Average Unit Cost \$48.35							
ORACLE CORP COM	ORCL	160	\$53.71	\$8,593.60	\$153.60	\$5,104.97 T	\$3,488.63
Estimated Yield 1.78%	CASH						
Dividend Option Cash							
Capital Gain Option Cash							
Next Dividend Payable: 04/25/19							
Average Unit Cost \$31.91							
OWENS CORNING COM USD0.01	OC	230	\$47.12	\$10,837.60	\$202.40	\$10,154.39	\$683.21
Estimated Yield 1.86%	CASH						
Dividend Option Cash							
Capital Gain Option Cash							
Next Dividend Payable: 04/02/19							
Average Unit Cost \$44.15							
PARAGON OFFSHORE PLC COM USD0.01 NO	G6S01W108	106	unavailable	unavailable		\$1,220.93	
STOCKHOLDER EQUITY 07/18/2017	CASH						
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost \$11.52							
PHILLIPS 66 COM	PSX	133	\$95.17	\$12,657.61	\$425.60	\$10,292.11	\$2,365.50
Estimated Yield 3.36%	CASH						

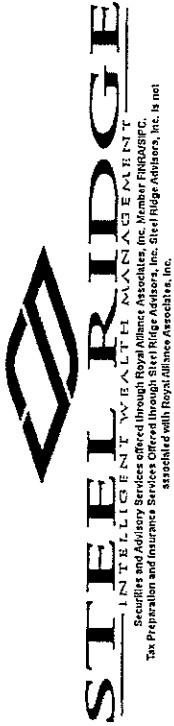
Royal Alliance Associates, Inc.

MIN_CEBGWBCPBBDPXMY_BBBC 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019

MARILYN STAHL - Individual
Account Number: RQV-003738



HOLDINGS > EQUITIES *continued*

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
PHILLIPS 66 COM	PSX	<i>continued</i>					
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost			\$77.38				
PRUDENTIAL FINL INC	PRU	66	\$91.88	\$6,064.08	\$264.00	\$6,077.91	(\$13.83)
Estimated Yield 4.35%	CASH						
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost			\$92.09				
QUALCOMM INC	QCOM	105	\$57.03	\$5,988.15	\$260.40	\$4,985.70	\$1,002.45
Estimated Yield 4.34%	CASH						
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost			\$47.48				
TWITTER INC COM USDD.000005	TWTR	392	\$32.88	\$12,888.96		\$16,495.39	(\$3,606.43)
Dividend Option Cash	CASH						
Capital Gain Option Cash							
Average Unit Cost			\$42.08				
UNITED PARCEL SVC INC CL B	UPS	25	\$111.74	\$2,793.50	\$96.00	\$1,868.75	\$924.75
Estimated Yield 3.43%	CASH						
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost			\$74.75				
VALERO ENERGY CORP	VLO	200	\$94.83	\$16,966.00	\$720.00	\$10,238.12	\$6,727.88
Estimated Yield 4.24%	CASH						
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost			\$51.19				
WEYERHAEUSER CO COM	WY	376	\$26.34	\$9,903.84	\$511.36	\$10,273.82	(\$369.98)
Estimated Yield 5.16%	CASH						
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost			\$27.32				
Total Equity				\$230,189.55	\$4,762.56	\$134,963.04	\$96,447.44
Total Equities				\$230,189.55	\$4,762.56	\$134,963.04	\$96,447.44

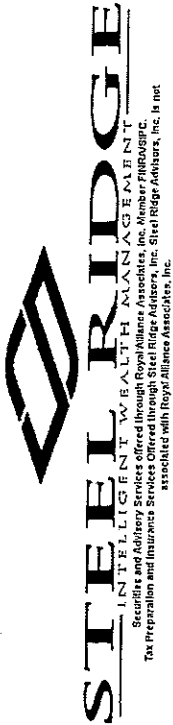
Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEBGWBCPBRDPXMY_BBBC 20190329

Statement for the Period March 1, 2019 to March 31, 2019

MARILYN STAHL - Individual
Account Number: RQV-003738



HOLDINGS > FIXED INCOME - 5.50% of Total Account Value

For an explanation of fixed income pricing, please see the last page. Redemption schedule(s), bond rating(s), and other information are provided where available. If information does not appear regarding a particular investment, it is not available. The ratings on this statement are provided by Standard & Poor's and/or Moody's to rate the quality based on the respective rating agency's assessment. Ratings information from Standard & Poor's ("S&P") may not be reproduced. S&P credit ratings are statements of opinion and are not statements of fact or recommendations to purchase, hold, or sell securities, nor do they address the suitability of securities for investment purposes, and should not be relied on as investment advice. S&P does not guarantee the accuracy, completeness, timeliness or availability of any information, including ratings, and is not responsible for errors or omissions (negligent or otherwise). S&P gives no express or implied warranties, including but not limited to any warranties of merchantability or fitness for a particular purpose or use. S&P shall not be liable for any direct, indirect, incidental, exemplary, compensatory, punitive, special or consequential damages, costs, expenses, legal fees, or losses (including lost income or profits and opportunity costs) in connection with any use of ratings.

Description	Symbol/Cusip Account Type	Quantity	Estimated Price on 03/31/19	Estimated Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
Corporate Bonds							
SEARS HLDGS CORP NOTE CALL MAKE WHOLE 6.62500% 10/15/2018 MOODY'S WR CPN PMT SEMI-ANNUAL ON OCT 15, APR 15 CONTINUOUSLY CALLABLE IN MONETARY DEFAULT Average Unit Cost \$98.81 Adjusted Cost Basis	812350AE6 CASH	155.000	\$12.00	\$18,600.00		\$153,154.00	
Municipal Bonds							
PUERTO RICO COMWLTH PUB IMPT BDS SER. 05.50000% 07/01/2016 2003A INSURED BY FGIC UNLIMITED GEN OBLIG MOODY'S WR CPN PMT SEMI-ANNUAL ON JAN 01, JUL 01 IN MONETARY DEFAULT Factor 0.75 Current face \$15,000 Average Unit Cost \$58.03	745149070 CASH	20.000	\$78.625	\$11,793.75		\$153,154.00 D	(\$134,554.00)
						\$11,606.74	\$187.01

INLAND EMPIRE TOBACCO SECURIZATION 05.00000% 06/01/2021 AUTH CALIF TOB TOBACCO BDS SER.2007A TOBACCO SETTLEMENT CPN PMT SEMI-ANNUAL ON DEC 01, JUN 01 Next Interest Payable: 06/01/19 PARTIAL CALL ON 12/01/2018 @ 100.0 CONTINUOUSLY CALLABLE FROM 06/01/2017	45734TAB0 CASH	10.000	\$100.015	\$1,000.150	\$500.00	\$9,402.80 T	
--	-------------------	--------	-----------	-------------	----------	--------------	--

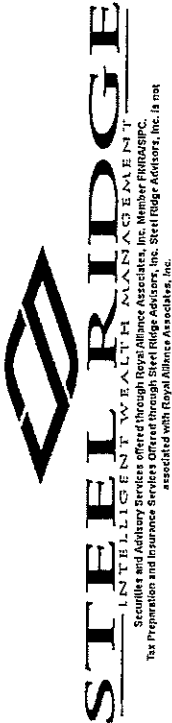
Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEBGWBCPBBDPXMV_BBBC 20190329

Statement for the Period March 1, 2019 to March 31, 2019

MARILYN STAHL - Individual
Account Number: RQV-003738



HOLDINGS > FIXED INCOME *continued*

Description	Symbol/Cusip Account Type	Quantity	Estimated Price on 03/31/19	Estimated Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
INLAND EMPIRE TOBACCO SECURIZATION CALLABLE ON 04/14/2019 @ 100.0000 SUBJECT TO EXTRAORDINARY CALL	45734TAB0	<i>continued</i>					
Accrued Interest							
Average Unit Cost							
Adjusted Cost Basis							
Unrealized Market Discount Income							
Total Municipal Bonds		30,000		\$21,795.25	\$500.00	\$21,076.54	\$718.71
Total Fixed Income		185,000		\$40,395.25	\$500.00	\$174,230.54	(\$133,835.29)

HOLDINGS > MUTUAL FUNDS - 53.07% of Total Account Value

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
Equity							
FIDELITY ADVISOR ASSET MANAGER 70% M	FTASX	7,459,642	\$21.43	\$159,860.13	\$1,387.49	\$130,611.48	\$29,248.65
Estimated Yield 0.86%							
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost							
INVECO GROWTH AND INCOME FUND CL C	ACGKX	834,595	\$22.66	\$18,911.92	\$199.97	\$20,332.14	(\$1,420.22)
Estimated Yield 1.05%							
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost							
OPPENHEIMER RISING DIVIDENDS FD CL C	OCRDX	4,575,961	\$15.60	\$71,384.99	\$465.05	\$75,004.00	(\$3,619.01)
Estimated Yield 0.65%							
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost							
Total Equity				\$250,157.04	\$2,052.51	\$225,947.62	\$24,209.42
Fixed Income							
FIDELITY ADV STRAT DIVIDEND & INC CL C	FCSDX	2,858,419	\$14.79	\$42,276.02	\$831.80	\$35,818.14	\$6,457.88
Estimated Yield 1.96%							
Dividend Option Cash							

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEBGWBCPBBDPXMY_BBBC 20190329

Statement for the Period March 1, 2019 to March 31, 2019

MARILYN STAHL - Individual
Account Number: RQV-003738



HOLDINGS > MUTUAL FUNDS *continued*

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
FIDELITY ADV STRAT DIVIDEND & INC CL C <i>continued</i>							
Capital Gain Option Cash	FCSDX						
Average Unit Cost			\$12.53				
FIDELITY ADVISOR FL RATE HIGH INC CL C	FFRCX CASH	3,297.89	\$9.47	\$31,231.02	\$1,117.18	\$32,751.98	(\$1,520.96)
Estimated Yield			3.57%				
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost			\$9.93				
OPPENHEIMER ROCHEST HIGH YIELD MUNI C	ORNCX CASH	8,785.942	\$7.53	\$66,158.14	\$2,589.51	\$55,030.00 T	\$11,128.14
Estimated Yield			3.91%				
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost			\$6.26				
Total Fixed Income				\$139,665.18	\$4,538.49	\$123,600.12	\$16,065.06
Total Mutual Funds				\$389,822.22	\$6,591.00	\$349,547.74	\$40,274.48
Total Securities				\$660,407.02	\$11,853.56	\$658,741.32	\$2,886.63
TOTAL PORTFOLIO VALUE				\$734,484.64	\$11,853.56	\$658,741.32	\$2,886.63

Activity

NFS-provided cost basis, realized gain (loss) and holding period information may not reflect all adjustments necessary for tax purposes. Please refer to Footnotes and Cost Basis Information at the end of this statement for more information.

PURCHASES, SALES, AND REDEMPTIONS

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
Securities Sold					
03/11/19	CASH	YOU SOLD	FIDELITY GOVT MMKT CAPITAL RESERVES CL FZAXX TO QAGCQ	(77,542.7)	\$77,542.70
Total Securities Sold					\$77,542.70

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEBGWBCPBBDPXNV_BBBBC 20190329

Statement for the Period March 1, 2019 to March 31, 2019
MARILYN STAHL - Individual
Account Number: RQV-003738



ACTIVITY > CORE FUND ACTIVITY

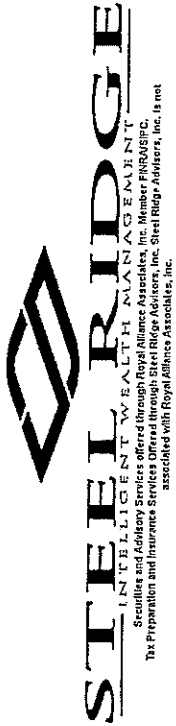
Settlement Date	Account Type	Transaction	Description	Quantity	Amount
03/01/19	CASH	YOU BOUGHT	FIDELITY GOVT MMKT CAPITAL RESERVES CL @ 1	232.38	(\$232.30)
03/05/19	CASH	YOU BOUGHT	FIDELITY GOVT MMKT CAPITAL RESERVES CL @ 1	180	(\$180.00)
03/11/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) QAGCQ IS LIQUID	77,542.7	(\$77,542.70)
03/12/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) @ 1	24	(\$24.00)
03/14/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) @ 1	66	(\$66.00)
03/15/19	CASH	YOU SOLD	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) @ 1	(4,500)	\$4,500.00
03/22/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) @ 1	203.59	(\$203.59)
03/27/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) @ 1	205.45	(\$205.45)
03/28/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) @ 1	420.58	(\$429.58)
03/29/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) @ 1	95.67	(\$95.67)
03/29/19	CASH	REINVESTMENT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) NET INT REINVEST	10.63	(\$10.63)
TOTAL CORE FUND ACTIVITY					(\$74,490.00)

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDPXMV_BBBC 20190329

Account carried with National Financial Services LLC, Member NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
MARILYN STAHL - Individual
Account Number: RQV-003738



ACTIVITY > ADDITIONS AND WITHDRAWALS > OTHER ADDITIONS AND WITHDRAWALS

Date	Account Type	Transaction	Description	Quantity	Amount
Other Additions and Withdrawals					
03/15/19	CASH	EFT FUNDS PAID	EFT FUNDS PAID ED97715455 CAPITAL ONE, N.A. *****8731		(\$4,500.00)
Total Other Additions and Withdrawals					(\$4,500.00)
TOTAL ADDITIONS AND WITHDRAWALS					(\$4,500.00)

ACTIVITY > INCOME > TAXABLE INCOME

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
Taxable Dividends					
02/28/19	CASH	DIVIDEND RECEIVED	FIDELITY ADVISOR FL RATE HIGH INC CL C		\$94.48
03/01/19	CASH	DIVIDEND RECEIVED	INTEL CORP COM USD0.001		\$31.50
03/01/19	CASH	DIVIDEND RECEIVED	PHILLIPS 66 COM		\$106.40
03/05/19	CASH	DIVIDEND RECEIVED	VALERO ENERGY CORP		\$180.00
03/12/19	CASH	DIVIDEND RECEIVED	UNITED PARCEL SVC INC CL B		\$24.00
03/14/19	CASH	DIVIDEND RECEIVED	PRUDENTIAL FINL INC		\$66.00
03/21/19	CASH	DIVIDEND RECEIVED	INVESCO GROWTH AND INCOME FUND CL C		\$48.57
03/21/19	CASH	DIVIDEND RECEIVED	OPPENHEIMER RISING DIVIDENDS FD CL C		\$27.18
03/22/19	CASH	DIVIDEND RECEIVED	WEYERHAEUSER CO COM		\$127.84
03/28/19	CASH	DIVIDEND RECEIVED	HOME DEPOT INC COM		\$364.48
03/28/19	CASH	DIVIDEND RECEIVED	QUALCOMM INC		\$65.10
03/29/19	CASH	DIVIDEND RECEIVED	AMERICAN INTL GROUP INC COM NEW		\$34.56
03/29/19	CASH	DIVIDEND RECEIVED	FIDELITY GOVT MMKT CAPITAL RESERVES CL DIVIDEND RECEIVED		\$35.34

Royal Alliance Associates, Inc.

MN_CBBGWBCPBBDPXMV_BBBBC 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
MARILYN STAHL - Individual
Account Number: RQV-003738



ACTIVITY > INCOME > TAXABLE INCOME *continued*

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
Total Taxable Dividends					
Taxable Interest					
03/29/19	CASH	INTEREST RECEIVED	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED)		\$10.63
Total Taxable Interest					\$10.63
Total Taxable Income					\$1,216.08

ACTIVITY > INCOME > NON-TAXABLE INCOME

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
Non-Taxable Dividends					
03/26/19	CASH	DIVIDEND RECEIVED	OPPENHEIMER ROCHEST HIGH YIELD MUNI C		\$205.45
Total Non-Taxable Dividends					\$205.45
Muni Tax Exempt Interest					
02/07/19	CASH	MUNI EXEMPT INT	PUERTO RICO COMWLTH PUB IMPT BDS SER. 05.50000% 07/01/2016 2003A		\$25.77
Total Muni Tax Exempt Interest					\$25.77
Total Non-Taxable Income					\$231.22
TOTAL INCOME					\$1,447.30

ACTIVITY > PENDING DISTRIBUTIONS

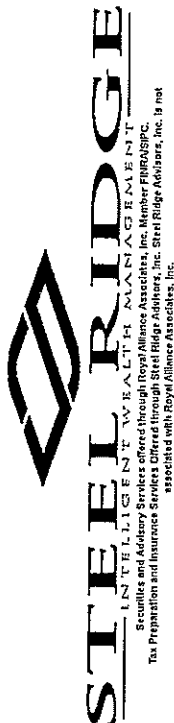
Pending dividends and stock distributions reflect projected values only, are subject to change and may not represent the actual amount, if any, that you may receive. This information is provided for informational purposes only and should not be relied on for tax reporting or other purposes.

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEBGWBCPBBDPXMV_BBBBC 20190329

Statement for the Period March 1, 2019 to March 31, 2019
MARILYN STAHL - Individual
Account Number: RQV-003738



Symbol/Cusip	Security Description	Eligible Quantity	Rate	Payment Amount
Pending Accrued Dividends				
OC	OWENS CORNING COM USD0.01	230	\$0.22	\$50.60
Total Pending Accrued Dividends				\$50.60

ACTIVITY >BANK DEPOSIT DETAIL

Bank deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). Customers are responsible for monitoring their total deposits at each Program Bank to determine the extent of available FDIC insurance. Your Ending Balance at each Program Bank as of the end of this statement period is shown below. If you participate in a Bank Deposit Sweep Program and also hold a Bank Deposit Direct Investment, the Bank Deposit Detail section lists banks and ending balances for both programs. Funds pending settlement reflect deposits to (credit) or withdrawals from (debit) a Program Bank. Subject to the terms of the applicable bank deposit disclosure, customers are reminded that funds are deposited to a Program Bank on the business day following the date that funds are credited to your account and until swept to a Program Bank, funds are covered by SIPC.

Bank	Beginning Balance	Ending Balance
Capital One Bank	\$0.00	\$73,981.95
Current Month's Pending Settlement		\$95.67
Total Bank Deposits	\$0.00	\$74,077.62

Footnotes and Cost Basis Information

Amortization, accretion and similar adjustments to cost basis have been provided for many fixed income securities (and some bond-like equities), however, they are not provided for certain types, such as short-term instruments, Unit Investment Trusts, foreign fixed income securities, or those that are subject to early prepayment of principal (pay downs). Where current year premium or acquisition premium amortization is provided, the prior years' cumulative amortization is reflected in the adjusted cost basis, but we cannot provide a breakdown or the total of such prior amortization amounts.

NFS is required to report certain cost basis and related information to the IRS on the Form 1099-B. Your official 1099-B forms for certain transactions will reflect which lots have been sold for tax purposes. To apply a specific identification cost basis method to 1099-B reporting, appropriate instructions must be on file with NFS or be received by NFS before the trade has settled. Absent such instructions, NFS determines cost basis at the time of sale based on its default methods of average cost for open-and mutual funds and first-in, first-out (FIFO) for all other (including ETFs) unless your broker dealer has elected to use another default method. NFS applies FIFO (or other disposal method, if applicable) based on its records, which may be different from yours. For transactions that are not subject to 1099-B cost basis reporting, you should refer to your trade confirmations and other applicable records to determine which lots were considered sold for tax purposes.

While NFS must meet IRS requirements with respect to certain information required to be reported to the IRS, NFS-provided cost basis, realized gain and loss, and holding period information may not reflect all adjustments necessary for your tax reporting purposes. NFS makes no warranties with respect to and specifically disclaims any liability arising out of a customer's use of, or any tax position taken in reliance upon, such information.

For investments in partnerships, NFS does not make any adjustments to cost basis information as the calculation of basis in such investments requires supplemental information from the partnership on its income and distributions during the period you held your investment. Partnerships usually provide this additional information on a Form K-1 issued by April 15th of the following year.

Consult your tax advisor for further information.

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEBGWBCPBBDPXNV_BBBC 20190329

Statement for the Period March 1, 2019 to March 31, 2019
MARILYN STAHL - Individual
Account Number: RQV-003738



Footnotes and Cost Basis Information *continued*

T - Cost basis information was provided by a third party. We treat it as original cost basis, as of the date it is provided, and we assume that for equities, it reflects any prior corporate actions, and for asset-backed fixed income securities, it reflects any prior principal pay downs. D - Adjusted cost basis reflects any cumulative original issue discount, premium, or acquisition premium, and it assumes such amounts were amortized by the taxpayer over the life of the security through disposition date. For securities still held, maturity date was used instead of disposition date. Premium amortization was calculated using the yield-to-maturity method. Acquisition premium was calculated using the ratable accrual method. If applicable, adjusted cost basis reflects market discount accretion which was calculated using the straight-line method and was recognized at disposition date. Gain/loss displayed for this transaction was based on cost basis as adjusted for premium and discount, as stated above and does not reflect any losses disallowed because of wash sales (if applicable). The adjusted cost basis may not reflect all adjustments necessary for tax reporting purposes and may also not apply if you are using an alternative amortization calculation method. Refer to IRS Publication 550, Investment Income and Expenses, for additional information. Q - Unrealized Market discount income was calculated using the straight-line method from acquisition date through statement period ending date. Our calculation assumes the taxpayer has elected to defer recognizing the market discount until sale (disposition). Other elections available under tax laws may be more beneficial, depending on your individual tax situation. For Federal tax purposes, market discount income from both taxable and tax-exempt bonds is treated as taxable interest income.

If a sale, redemption or other disposition involved multiple tax lots, the transaction's totals may have been calculated using a combination of adjusted and unadjusted cost basis information. For lots where adjusted cost basis and its associated gain/loss are known, that was used, otherwise "regular" unadjusted cost basis and its associated gain/loss was used.

Miscellaneous Footnotes

CHANGE IN VALUE OF YOUR PORTFOLIO is the change in market value of your portfolio assets over the time period shown. The portfolio assets include the market value of all the securities in the account, plus insurance and annuity assets if applicable. The time frame of the graph is from account opening or September 2011, whichever is later, to the current period. Please note that large increases and/or declines in the change in the value of the portfolio can be due to additions, distribution and/or performance.

CHANGE IN VALUE reflects appreciation or depreciation of your holdings due to price changes plus any activity not reflected within Additions and Withdrawals, Income, Taxes, Fees and Expenses, and Other Activity sections. Change in Value does not reflect activity related to assets in which NFS is not the custodian (e.g. Insurance and Annuities, Assets Held Away and Other Assets Held Away).

CALLABLE SECURITIES LOTTERY - When street name or bearer securities held for you are subject to a partial call or partial redemption by the issuer, NFS may or may not receive an allocation of called/redeemed securities by the issuer, transfer agent and/or depository. If NFS is allocated a portion of the called/redeemed securities, NFS utilizes an impartial lottery allocation system, in accordance with applicable rules, that randomly selects the securities within customer accounts that will be called/redeemed. NFS' allocations are not made on a pro rata basis and it is possible for you to receive a full or partial allocation, or no allocation. You have the right to withdraw uncalled fully paid securities at any time prior to the cutoff date and time established by the issuer, transfer agent and/or depository with respect to the partial call, and also to withdraw excess margin securities provided your account is not subject to restriction under Regulation T or such withdrawal will not cause an undermargined condition.

PRICING INFORMATION - Prices displayed are obtained from sources that may include pricing vendors, broker/dealers who clear through NFS and/or other sources. Prices may not reflect current fair market value and/or may not be readily marketable or redeemable at the prices shown.

FOREIGN EXCHANGE TRANSACTIONS - Some transaction types necessitate a foreign currency exchange (FX) in order to settle. FX transactions may be effected by Fidelity Forex, Inc. on a principal basis. Fidelity Forex, Inc., an affiliate of NFS, may impose a commission or markup on the prevailing interbank market price, which may result in a higher price to you. Fidelity Forex, Inc. may share a portion of any FX commission or markup with NFS. More favorable rates may be available through third parties not affiliated with NFS. The rate applicable to any transaction involving an FX is available upon request through your broker-dealer.

COST BASIS LEGISLATION - New IRS Rules will require National Financial Services to report cost basis and holding period information for the sale of shares of open end Mutual Fund holdings purchased on or after January 1, 2012 on Form 1099-B. National Financial Services determines the cost basis for all shares of open end mutual funds using a default method of average cost. Alternatively, account owners or their brokers and advisors can instruct National Financial Services to determine the cost basis for shares of open end mutual funds by 1) setting up their non-retirement accounts with one of our eleven tax lot disposal methods available to investors or 2) identifying specific tax lots to sell at the time of a transaction. Contact your broker or advisor to learn more about the cost basis tracking of your holdings.

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MIN_CEBGWBCPBBDPXMV_BBBC 20190329

GLOSSARY Short Account Balances-If you have sold securities under the short sale rule, we have, in accordance with regulations, segregated the proceeds from such transactions in your Short Account. Any market increases or decreases from the original sale price will be marked to the market and will be transferred to your Margin Account on a weekly basis. **Market Value** - The Total Market Value has been calculated out to 9 decimal places, however, the individual unit price is displayed in 5 decimal places. The Total Market Value represents prices obtained from various sources, may be impacted by the frequency in which such prices are reported and such prices are not guaranteed. Prices received from pricing vendors are generally based on current market quotes, but when such quotes are not available the pricing vendors use a variety of techniques to estimate value. These estimates, particularly for fixed income securities, may be based on certain minimum principal amounts (e.g. \$1 million) and may not reflect all of the factors that affect the value of the security, including liquidity risk. The prices provided are not firm bids or offers. Certain securities may reflect "N/A" or "unavailable" where the price for such security is generally not available from a pricing source. The Market Value of a security, including those priced at par value, may differ from its purchase price and may not

CUSTOMER SERVICE: Please review your statement and report any inaccuracy or discrepancy immediately by calling the telephone number of your broker-dealer reflected on the front of this statement. Reports of any inaccuracy or discrepancy regarding your brokerage account or the activity therein should be directed to your broker-dealer at the telephone number and address reflected on the front of this statement and National Financial Services LLC ("NFS").

NFS carries your brokerage account and acts as your custodian for funds and securities that are deposited with NFS by you or your broker-dealer. In addition to your initial contact with your broker-dealer you may contact NFS at (800) 801-9942. Any oral communications regarding inaccuracies or discrepancies should be reconfirmed in writing to protect your rights, including those under the Securities Investor Protection Act ("SIPA"). When contacting either your broker-dealer or NFS, remember to include your entire brokerage account number to ensure a prompt reply.

ADDITIONAL INFORMATION Free credit balances ("FCB") are funds payable to you on demand. FCB are subject to open commitments such as uncleared checks and exclude proceeds from sales of certificated securities without delivery of the certificate. If your FCB is swept to a core position, you can liquidate the core position and have the proceeds sent to you or held in your account, subject to the terms of your account agreement. Required rule 10b-10(a) information not contained herein will be provided on written request. Fidelity may use this free credit balance in connection with its business, subject to applicable law.

Credit Adjustment Program. Accountholders receiving payments in lieu of qualified dividends may not be eligible to receive credit adjustments intended to help cover additional associated federal tax burdens. NFS reserves the right to deny the adjustment to any account holder and to amend or terminate the credit adjustment program.

Options Customers. Each transaction confirmation previously delivered to you contains full information about commissions and other charges. If you require further information, please contact your broker-dealer.

Assignments of American and European-style options are allocated among customer short positions pursuant to a random allocation procedure, a description of which is available upon request. Short positions in American-style options are liable for assignment at any time. The writer of a European-style option is subject to exercise assignment only during the exercise period. You should advise your broker-dealer promptly of any material change in your investment objectives or financial situation. Splits, Dividends, and Interest. Expected stock split, next dividend payable, and next interest payable information has been provided by third parties and may be subject to change. Information for certain securities may be missing if not received from third parties in time for printing. NFS is not responsible for inaccurate, incomplete, or missing information. Please consult your broker-dealer for more information about expected stock split, next dividend payable, and next interest payable for certain securities.

Equity Dividend Reinvestment Customers. Shares credited to your brokerage account resulted from transactions effected as agent by either: 1) Your broker-dealer for your investment account, or 2) through the Depository Trust Company (DTC) dividend reinvestment program. For broker-dealer effected transactions, the time of the transactions, the exchange upon which these transactions occurred and the name of the person from whom the security was purchased will be furnished upon written request. NFS may have acted as market maker in effecting trades in "over-the-counter" securities.

Retirement Contributions/Distributions. A summary of retirement contributions/distributions is displayed for you in the activity summary section of your statement. **Income Reporting.** NFS reports earnings from investments in Traditional IRAs, Rollover IRAs, SEP-IRAs and, Keoghs as tax-deferred income. Earnings from Rollover IRAs are reported as tax-free income, since distributions may be tax-free after meeting the 5 year aging requirement and certain other conditions. A financial statement of NFS is available for your personal inspection at its office or a copy of it will be mailed to you upon your written request.

Statement Mailing. NFS will deliver statements by mail or, if applicable, notify you by e-mail of your statement's availability, if you had transactions that affected your cash balances or security positions held in your account(s) during the last monthly reporting period. At a minimum, all brokerage customers will receive quarterly statements (at least four times per calendar year) as long as their accounts contain a cash or securities balance.

Loads and Fees. In connection with (i) access to, purchase or redemption of, and/or maintenance of positions in mutual funds and other investment products ("funds") or (ii) infrastructure needed to support such funds, some funds, or their investment affiliates, pay your introducing broker dealer and/or NFS sales loads and 12b-1 fees

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDPXMV_BBBC 20190329

closely reflect the value at which the security may be sold or purchased based on various market factors. Investment decisions should be made only after consulting your broker-dealer. **Estimated Annual Income (EAI) & Estimated Yield (EY)** - EAI for fixed income is calculated using the coupon rate. For all other securities, EAI is calculated using an indicated annual dividend (IAD). The IAD is an estimate of a security's dividend payments for the next 12 months calculated based on prior and/or declared dividends for that security. EY reflects only the income generated by an investment and not changes in its price which may fluctuate. Interest and dividend rates are subject to change at any time and may be affected by current and future economic, political and business conditions. EAI and EY are estimates only and may include return of principal and/or capital gains, which would render them overstated. EAI and EY are provided for informational purposes only and should not be used or relied on for making investment, trading or tax decisions. EAI and EY are based on data obtained from information providers believed to be reliable, but no assurance can be made as to accuracy, timeliness or completeness.

described in the prospectus as well as additional compensation for shareholder services, start-up fees, infrastructure support and maintenance, and other programs. Additional information about the source(s) and amount(s) of compensation as well as other remuneration received by your introducing broker dealer and/or NFS will be furnished to you upon written request. At time of purchase fund shares may be assigned a load, transaction fee or no transaction fee status. At time of sale, any fees applicable to your transaction will be assessed based on the status assigned to the shares at time of purchase. **Margin.** If you have applied for margin privileges and been approved, you may borrow money from NFS in exchange for pledging the assets in your account as collateral for any outstanding margin loan. The amount you may borrow is based on the value of securities in your margin account, which is identified on your statement. If you have a margin account, this is a combined statement of your margin account and special memorandum account other than your non-purpose margin accounts maintained for you under Section 220.5 of Regulation T issued by the Board of Governors of the Federal Reserve Board. The permanent record of the separate account, as required by Regulation T, is available for your inspection upon request. **NYSE and FINRA.** All transactions are subject to the constitution, rules, regulations, customs, usages, rulings and interpretations of the exchange market and its clearing house, if any, where the transactions are executed, and of the New York Stock Exchange (NYSE) and of the Financial Industry Regulatory Authority ("FINRA"). The FINRA requires that we notify you in writing of the availability of an investor brochure that includes information describing FINRA Regulation's BrokerCheck Program ("Program"). To obtain a brochure or more information about the Program or FINRA Regulation, contact the FINRA Regulation BrokerCheck Program Hotline at (800) 289-9999 or access the FINRA's web site at www.finra.org. **FINRA Rule 4311** requires that your broker-dealer and NFS allocate between them certain functions regarding the administration of your brokerage account. The following is a summary of the allocation services performed by your broker-dealer and NFS. A more complete description is available upon request. Your broker-dealer is responsible for: (1) obtaining and verifying brokerage account information and documentation, (2) opening, approving and monitoring your brokerage account, (3) transmitting timely and accurate orders and other instructions to NFS with respect to your brokerage account, (4) determining the suitability of investment recommendations and advice, (5) operating, and supervising your brokerage account and its own activities in compliance with applicable laws and regulations including compliance with margin rules pertaining to your margin account, if applicable, and (6) maintaining required books and records for the services that it performs. **NFS shall, at the direction of your broker-dealer:** (1) execute, clear and settle transactions processed through NFS by your broker-dealer, (2) prepare and send transaction confirmations and periodic statements of your brokerage account (unless your broker-dealer has undertaken to do so). Certain securities pricing and descriptive information may be provided by your broker-dealer or obtained from third parties deemed to be reliable, however, this information has not been verified by NFS, (3) act as custodian for funds and securities received by NFS on your behalf, (4) follow the instructions of your broker-dealer with respect to transactions and the receipt and delivery of funds and securities for your brokerage account, and (5) extend margin credit for purchasing or carrying securities on margin. Your broker-dealer is responsible for ensuring that your brokerage account is in compliance with federal, industry and NFS margin rules, and for advising you of margin requirements. NFS shall maintain the required books and records for the services it performs. Securities in accounts carried by NFS are protected in accordance with the Securities Investor Protection Corporation ("SIPC") up to \$500,000. The \$500,000 total amount of SIPC protection is inclusive of up to \$250,000 protection for claims for cash, subject to periodic adjustments for inflation in accordance with terms of the SIPC statute and approval by SIPC's Board of Directors. NFS also has arranged for coverage above these limits. Neither coverage protects against a decline in the market value of securities, nor does either coverage extend to certain securities that are considered ineligible for coverage. For more details on SIPC, or to request a SIPC brochure, visit www.sipc.org or call 1-202-371-8300. Funds used to purchase or sweep to a bank deposit are SIPC protected until deposited to a Program Bank at which time funds may be eligible for FDIC insurance. Assets Held Away, commodities, unregistered investment contracts, futures accounts, loaned securities and other investments are not covered. Precious metals are not covered by SIPC protection. Mutual funds and/or other securities are not backed or guaranteed by any bank, nor are they insured by the FDIC and involve investment risk including possible loss of principal.

End of Statement

722239.7.0

Account carried with National Financial Services LLC, Member
NYSE, SIPC

This page is left intentionally blank

UNITED STATES BANKRUPTCY COURT
SOUTHERN DISTRICT OF NEW YORK

X
:
:
In Re : Chapter 11
Case No. 18-23538 (RDD)

SEARS HOLDING CORPORATION, et al.,

Debtors

(Jointly Administered)

X

Response to objection by Sears Holding to Proofs of Claims (Reclassifying Claims)

Claim # 17004/USD 150,000.

Arthur Rietmann
629 Spring Lake Dr.
Middle Island, NY 11953

Please do not allow Sears Corporation to (i)reclassify to general unsecured claims,
as I own second lien PIK notes and purchased these specifically based they were
secured bonds.



Scott M. Fitzgerald/Authorized Agent
President
Steel Ridge Advisors
1377 Motor Pkwy, Suite 204
Islandia, NY 11749
sfitzgerald@steelridgeadvisors.com
(631) 353-0003

11/5/2021

Contact 844.384.4460 Client Login



Sears Holdings Corporation (18-23538)

[CHANGE CASE](#)

[Case Info](#) [Docket](#) [Claims](#) [Submit a Claim](#) [Submit Inquiry](#)

[Search Docket](#) [Search Claim](#)

Schedule	Claim #	Filed Date	Creditor Name	Debtor Name	Claim Value
	17004	04/10/2019	Rietmann, Arthur	Sears Holdings Corporation	\$ 150,000.00

Select scope

Claim Number(s) (e.g. 1,3,5-7)

Schedule Number

Creditor name

Debtor(s)

Select Classification

Select Search Operator

Amount

Date from

Date to

 -

[Search Claim](#)

[Reset](#)

Creditor Data Details for Claim # 17004

Creditor
Rietmann, Arthur

Date Filed
04/10/2019

Debtor Name
Sears Holdings Corporation
Schedule Number

Claim Number
17004
Proof of Claim
[View PDF](#) [Email PDF](#)

	Schedule Amount 'C'UD'	Asserted Claim Amount 'C'UF'	Current Claim Status Claim Value
General Unsecured			
Priority			
Secured		\$150,000.00	\$150,000.00 Asserted
503(b)(9) Admin Priority			
Admin Priority			
Total	\$0.00	\$150,000.00	\$150,000.00

'C'=Contingent, 'U'=Unliquidated, 'D'=Disputed, 'F'=Foreign

Prime Clerk maintains this website for the public's convenience and for general informational purposes only. Anyone using this website is cautioned NOT to rely on any information contained on this website, and any user of this website should not take or refrain from taking any action based upon anything included or not included on this website. We are not a law firm or a substitute for

[Open in new window](#)

Page 1 of 1

20

View 1 - 1 of 1

[Home](#) [Leadership](#) [Disclaimer](#) [Terms & Conditions](#)

©2016 Prime Clerk. All rights reserved.

Contact 844.384.4460 Client Login



Sears Holdings Corporation (18-23538)

[CHANGE CASE](#)

Case Info Docket Claims Submit a Claim Submit Inquiry

Search Docket Search Claim

Schedule	Claim #	Filed Date	Creditor Name	Debtor Name	Claim Value
	17004*	04/10/2019	Rietmann, Arthur	Sears Holdings Corporation	\$ 150,000.00

Creditor Data Details for Claim # 17004

Creditor
Rietmann, Arthur

Date Filed
04/10/2019

Debtor Name
Sears Holdings Corporation
Schedule Number

Claim Number
17004

Proof of Claim
☐ View PDF ☐ Email PDF

Select scope

Claims Only

Claim Number(s)(e.g. 1,3,5-7)

17004

Schedule Number

Creditor name

Debtor(s)

Sears Holdings Corporation(18-23538)

Select Classification

Select an Option

Select Search Operator

Select an Option

Amount

Date from

Date to

Search Claim

[Reset](#)

	Schedule Amount C*U*	Asserted Claim Amount C*U*	Current Claim Status Claim Value
General Unsecured		\$150,000.00	\$150,000.00 Asserted
Priority			
Secured			
503(b)(9) Admin Priority			
Admin Priority			
Total	\$0.00	\$150,000.00	\$150,000.00

*C=Contingent, U=Unliquidated, D=Disputed, F=Foreign

Prime Clerk maintains this website for the public's convenience and for general informational purposes only. Anyone using this website is cautioned NOT to rely on any information contained on this Website, and any user of this website should not take or refrain from taking any action based upon anything included or not included on this website. We are not a law firm or a substitute for

[Open in new window](#)

Page 1 of 1

20

View 1 - 1 of 1

Home Leadership Disclaimer Terms & Conditions

©2016 Prime Clerk. All rights reserved.

UNITED STATES BANKRUPTCY COURT FOR THE SOUTHERN DISTRICT OF NEW YORK

Fill in this information to identify the case (Select only one Debtor per claim form):				
<input checked="" type="checkbox"/> Sears Holdings Corporation (18-23538)	<input type="checkbox"/> Kmart Corporation (18-23549)	<input type="checkbox"/> Sears, Roebuck de Puerto Rico, Inc. (18-23561)	<input type="checkbox"/> MyGofer LLC (18-23573)	<input type="checkbox"/> Kmart.com LLC (18-23585)
<input type="checkbox"/> Sears, Roebuck and Co. (18-23537)	<input type="checkbox"/> MaxServ, Inc. (18-23550)	<input type="checkbox"/> SYW Relay LLC (18-23562)	<input type="checkbox"/> Sears Brands Business Unit Corporation (18-23574)	<input type="checkbox"/> Sears Brands Management Corporation (18-23586)
<input type="checkbox"/> Kmart Holding Corporation (18-23539)	<input type="checkbox"/> Private Brands, Ltd. (18-23551)	<input type="checkbox"/> Wally Labs LLC (18-23563)	<input type="checkbox"/> Sears Holdings Publishing Company, LLC (18-23575)	<input type="checkbox"/> SHC Licensed Business LLC (18-23616)
<input type="checkbox"/> Kmart Operations LLC (18-23540)	<input type="checkbox"/> Sears Development Co. (18-23552)	<input type="checkbox"/> Big Beaver of Florida Development, LLC (18-23564)	<input type="checkbox"/> Kmart of Michigan, Inc. (18-23576)	<input type="checkbox"/> SHC Promotions LLC (18-23630)
<input type="checkbox"/> Sears Operations LLC (18-23541)	<input type="checkbox"/> Sears Holdings Management Corporation (18-23553)	<input type="checkbox"/> California Builder Appliances, Inc. (18-23565)	<input type="checkbox"/> SHC Desert Springs, LLC (18-23577)	<input type="checkbox"/> SRe Holding Corporation (19-22301)
<input type="checkbox"/> ServiceLive, Inc. (18-23542)	<input type="checkbox"/> Sears Home & Business Franchises, Inc. (18-23554)	<input type="checkbox"/> Florida Builder Appliances, Inc. (18-23566)	<input type="checkbox"/> SOE, Inc. (18-23578)	
<input type="checkbox"/> A&E Factory Service, LLC (18-23543)	<input type="checkbox"/> Sears Home Improvement Products, Inc. (18-23555)	<input type="checkbox"/> KBL Holding Inc. (18-23567)	<input type="checkbox"/> StarWest, LLC (18-23579)	
<input type="checkbox"/> A&E Home Delivery, LLC (18-23544)	<input type="checkbox"/> Sears Insurance Services, L.L.C. (18-23556)	<input type="checkbox"/> KLC, Inc. (18-23568)	<input type="checkbox"/> STI Merchandising, Inc. (18-23580)	
<input type="checkbox"/> A&E Lawn & Garden, LLC (18-23545)	<input type="checkbox"/> Sears Procurement Services, Inc. (18-23557)	<input type="checkbox"/> Sears Protection Company (Florida), L.L.C. (18-23569)	<input type="checkbox"/> Troy Coolidge No. 13, LLC (18-23581)	
<input type="checkbox"/> A&E Signature Service, LLC (18-23546)	<input type="checkbox"/> Sears Protection Company (18-23558)	<input type="checkbox"/> Kmart of Washington LLC (18-23570)	<input type="checkbox"/> BlueLight.com, Inc. (18-23582)	
<input type="checkbox"/> FBA Holdings Inc. (18-23547)	<input type="checkbox"/> Sears Protection Company (PR) Inc. (18-23559)	<input type="checkbox"/> Kmart Stores of Illinois LLC (18-23571)	<input type="checkbox"/> Sears Brands, L.L.C. (18-23583)	
<input type="checkbox"/> Innovel Solutions, Inc. (18-23548)	<input type="checkbox"/> Sears Roebuck Acceptance Corp. (18-23560)	<input type="checkbox"/> Kmart Stores of Texas LLC (18-23572)	<input type="checkbox"/> Sears Buying Services, Inc. (18-23584)	

Proof of Claim

04/16

Read the instructions before filling out this form. This form is for making a claim for payment in a bankruptcy case. Do not use this form to make a request for payment of an administrative expense, other than a claim entitled to administrative priority pursuant to 11 U.S.C. § 503(b)(9). Make such a request according to 11 U.S.C. § 503.

Filers must leave out or redact information that is entitled to privacy on this form or on any attached documents. Attach redacted copies of any documents that support the claim, such as promissory notes, purchase orders, invoices, itemized statements of running accounts, contracts, judgments, mortgages, and security agreements. Do not send original documents; they may be destroyed after scanning. If the documents are not available, explain in an attachment.

A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

Fill in all the information about the claim as of the date the case was filed. That date is on the notice of bankruptcy (Form 309) that you received.

Part 1: Identify the Claim

1. Who is the current creditor?	ARTHUR RIETMANN Name of the current creditor (the person or entity to be paid for this claim) Other names the creditor used with the debtor _____	
2. Has this claim been acquired from someone else?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. From whom? _____	
3. Where should notices and payments to the creditor be sent? Federal Rule of Bankruptcy Procedure (FRBP) 2002(g)	Where should notices to the creditor be sent? 629 SPRING LAKE DR MIDDLE ISLAND, NY 11953 Contact phone <u>631-953-6464</u> Contact email <u>jmmriet@optonline.net</u>	Where should payments to the creditor be sent? (if different) NATIONAL FINANCIAL SERVICES C/O ROYAL ALLIANCE 10 EXCHANGE PLAZA SUITE 1410 JERSEY CITY, NJ 07302 RQV-003600 Contact phone <u>631-353-0003</u> Contact email <u>sfitzgerald@steelridgeadvisors.com</u>
4. Does this claim amend one already filed?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. Claim number on court claims registry (if known) _____ Filed on _____ MM / DD / YYYY	
5. Do you know if anyone else has filed a proof of claim for this claim?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. Who made the earlier filing? _____	

Part 2: Give Information About the Claim as of the Date the Case Was Filed

6. Do you have any number you use to identify the debtor? ☐ No
☒ Yes. Last 4 digits of the debtor's account or any number you use to identify the debtor: 0 9 7 0

7. How much is the claim? \$ 150,000.00 Does this amount include interest or other charges?
☒ No
☐ Yes. Attach statement itemizing interest, fees, expenses, or other charges required by Bankruptcy Rule 3001(c)(2)(A).

8. What is the basis of the claim? Examples: Goods sold, money loaned, lease, services performed, personal injury or wrongful death, or creditcard.
Attach redacted copies of any documents supporting the claim required by Bankruptcy Rule 3001(c).
Limit disclosing information that is entitled to privacy, such as health care information.

9. Is all or part of the claim secured? ☐ No
☒ Yes. The claim is secured by a lien on property.
Nature of property:
☐ Real estate. If the claim is secured by the debtor's principal residence, file a *Mortgage Proof of Claim Attachment* (Official Form 410-A) with this *Proof of Claim*.
☐ Motor vehicle
☒ Other. Describe: SEARS HLDGS CORP. 6 5/8% SENIOR SECURED NOTE Deed
10/15/18
Basis for perfection: _____
Attach redacted copies of documents, if any, that show evidence of perfection of a security interest (for example, a mortgage, lien, certificate of title, financing statement, or other document that shows the lien has been filed or recorded.)
Value of property: \$ _____
Amount of the claim that is secured: \$ _____
Amount of the claim that is unsecured: \$ _____ (The sum of the secured and unsecured amounts should match the amount in line 7.)
Amount necessary to cure any default as of the date of the petition: \$ _____
Annual Interest Rate (when case was filed) _____ %
☐ Fixed
☐ Variable

10. Is this claim based on a lease? ☒ No
☐ Yes. Amount necessary to cure any default as of the date of the petition. \$ _____

11. Is this claim subject to a right of setoff? ☒ No
☐ Yes. Identify the property: _____

12. Is all or part of the claim entitled to priority under 11 U.S.C. § 507(a)? ☒ No
☐ Yes. Check one:

A claim may be partly priority and partly nonpriority. For example, in some categories, the law limits the amount entitled to priority.

☐ Domestic support obligations (including alimony and child support) under 11 U.S.C. § 507(a)(1)(A) or (a)(1)(B). Amount entitled to priority \$ _____

☐ Up to \$2,850* of deposits toward purchase, lease, or rental of property or services for personal, family, or household use. 11 U.S.C. § 507(a)(7). \$ _____

☐ Wages, salaries, or commissions (up to \$12,850*) earned within 180 days before the bankruptcy petition is filed or the debtor's business ends, whichever is earlier. 11 U.S.C. § 507(a)(4). \$ _____

☐ Taxes or penalties owed to governmental units. 11 U.S.C. § 507(a)(8). \$ _____

☐ Contributions to an employee benefit plan. 11 U.S.C. § 507(a)(5). \$ _____

☐ Other. Specify subsection of 11 U.S.C. § 507(a)() that applies. \$ _____

* Amounts are subject to adjustment on 4/01/19 and every 3 years after that for cases begun on or after the date of adjustment.

13. Is all or part of the claim entitled to administrative priority pursuant to 11 U.S.C. § 503(b)(9)? ☒ No
☐ Yes. Indicate the amount of your claim arising from the value of any goods received by the Debtor within 20 days before the date of commencement of the above case, in which the goods have been sold to the Debtor in the ordinary course of such Debtor's business. Attach documentation supporting such claim. \$ _____

Part 3: Sign Below

The person completing this proof of claim must sign and date it. FRBP 9011(b).

If you file this claim electronically, FRBP 5005(a)(2) authorizes courts to establish local rules specifying what a signature is.

A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

Check the appropriate box:

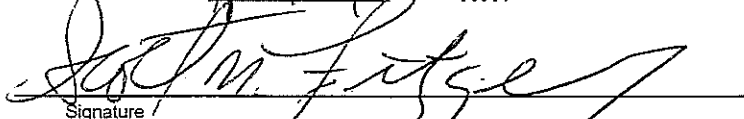
- ☐ I am the creditor.
☒ I am the creditor's attorney or authorized agent.
☐ I am the trustee, or the debtor, or their authorized agent. Bankruptcy Rule 3004.
☐ I am a guarantor, surety, endorser, or other codebtor. Bankruptcy Rule 3005.

I understand that an authorized signature on this *Proof of Claim* serves as an acknowledgment that when calculating the amount of the claim, the creditor gave the debtor credit for any payments received toward the debt.

I have examined the information in this *Proof of Claim* and have a reasonable belief that the information is true and correct.

I declare under penalty of perjury that the foregoing is true and correct.

Executed on date 04/09/2019 (mm/dd/yyyy)


Signature

Print the name of the person who is completing and signing this claim:

Name of the person who is completing and signing this claim:

Name SCOTT M FITZGERALD
First name Middle name Last name

Title PRESIDENT

Company STEEL RIDGE ADVISORS
Identify the corporate servicer as the company if the authorized agent is a servicer.

Address 1377 MOTOR PKWY, SUITE 204
Number Street
ISLANDIA NY 11749
City State ZIP Code

Contact phone 631-353-0003 Email sfitzgerald@steelridgeadvisors.com

ENV# CEEGWBCPBBDPXKC_BBBBB
ROYAL ALLIANCE ASSOCIATES INC.
10 EXCHANGE PLACE, SUITE 1410
JERSEY CITY, NJ 07302

ARTHUR RIETMANN TTEE
RIETMANN LIVING TRUST
629 SPRING LAKE DR
MIDDLE ISLAND NY 11953



STATEMENT FOR THE PERIOD MARCH 1, 2019 TO MARCH 31, 2019

RIETMANN LIVING TRUST - Trust: Under Agreement
Account Number: RQV-003600

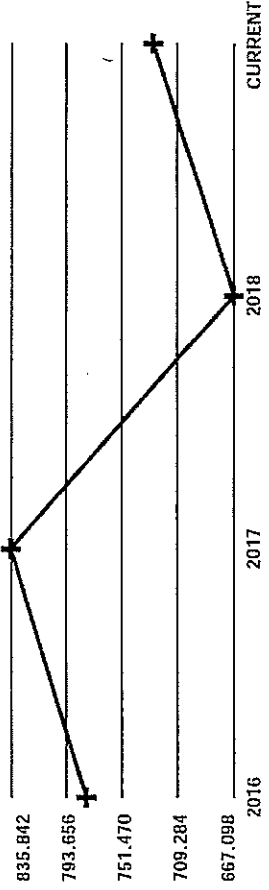
YOUR FINANCIAL ADVISOR IS:
SCOTT FITZGERALD
RR#: AZP
For questions about your accounts:
Local: 631 353 0003
In-State: 631 353 0003
National: 631 353 0003

TOTAL VALUE OF YOUR PORTFOLIO

\$727,835.80

CHANGE IN VALUE OF YOUR PORTFOLIO

\$ thousands



Change In Value Of Your Portfolio information can be found in Miscellaneous Footnotes at the end of this statement.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Royal Alliance Associates, Inc.

MN_CEEGWBCPBBDPXKC_BBBBB 20190329

Statement for the Period March 1, 2019 to March 31, 2019
RIETMANN LIVING TRUST - Trust Under Agreement
Account Number: RQV-003600

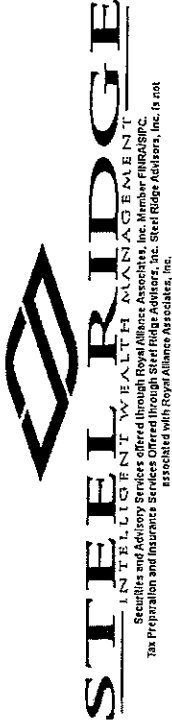
Account Overview

CHANGE IN ACCOUNT VALUE	Current Period	Year-to-Date
BEGINNING VALUE	\$735,113.76	\$667,098.64
Additions and Withdrawals	(\$1,500.00)	(\$4,500.00)
Income	\$1,220.49	\$4,716.57
Taxes, Fees and Expenses	\$0.00	(\$6.08)
Change in Value	(\$6,998.45)	\$60,526.67
ENDING VALUE (AS OF 03/31/19)	\$727,835.80	\$727,835.80
Total Pending Accrued Dividends	\$24.68	
Ending Value with Accrued Dividends	\$727,860.48	

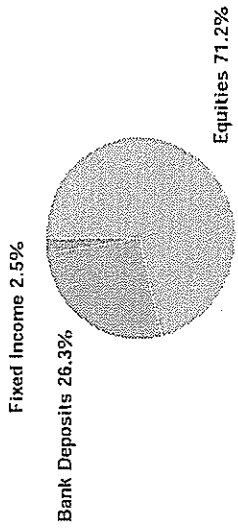
Refer to Miscellaneous Footnotes for more information on Change in Value.

Pending dividends and stock distributions reflect projected values only, are subject to change and may not represent the actual amount, if any, that you may receive. This information is provided for informational purposes only and should not be relied on for tax reporting or other purposes.

Free Credit Balance	\$69.12
Free credit balances (FCB) include cash credits from the sale of long positions, deposits, cash dividends, and interest payments which have not been transferred to a money market fund or FDIC core position. FCB also includes multi-currency positions, FCBASH and credit balances that exceed the amount required to satisfy your margin obligations. Refer to the back of your statement for more information.	
MARGIN PROFILE	as of March 31, 2019
Margin Positions Market Value	\$536,395.82
Margin Balance (Net currency credit/debit)	\$69.12



ACCOUNT ALLOCATION

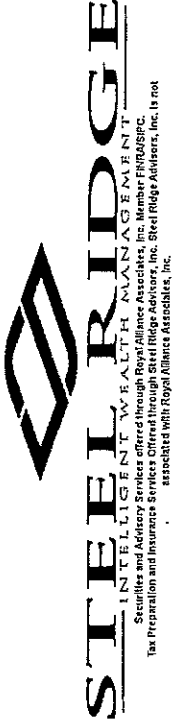


	Percent	Prior Period	Current Period
Money Markets	0.0 %	\$191,719.49	\$0.00
Bank Deposits	26.3	\$0.00	\$191,439.98
Equities	71.2	\$510,394.27	\$518,395.82
Fixed Income	2.5	\$33,000.00	\$18,000.00
TOTAL	100.0 %	\$735,113.76	\$727,835.80

Cash and Cash Equivalents will include margin debit and credit balances.

Account Allocation shows the percentage that each asset class represents of your total account value. Account Allocation for equities, fixed income, and other categories may include mutual funds and may be net of short positions. NFS has made assumptions concerning how certain mutual funds are allocated. Closed-end mutual funds and Exchange Traded Products (ETPs) listed on an exchange may be included in the equity allocation. The chart may not reflect your actual portfolio allocation. Consult your broker/dealer prior to making investment decisions.

Statement for the Period March 1, 2019 to March 31, 2019
RIETMANN LIVING TRUST - Trust: Under Agreement
Account Number: RQV-003600



Account Overview *continued*

MARGIN PROFILE <i>continued</i>	as of March 31, 2019
Margin Equity	\$536,464.94
Margin Equity Percent	100.0%
Equity Buying Power	\$1,161,387.90
Margin Interest Charged this Period	\$0.00

Balances and Margin availability are reflected as of the closing date of this statement. Please consult with your broker/dealer prior to trading as these amounts may have changed. Refer to Miscellaneous Footnotes at the end of this statement for more information.

Margin balance information reported in this section is based on trade date. Position and balance information reported elsewhere in this statement is based on settlement date.

INCOME	Current Period	Year-to-Date
TAXABLE		
Taxable Dividends	\$1,189.08	\$3,800.40
Taxable Interest	\$31.41	\$31.41
Long-Term Capital Gain	\$0.00	\$884.76
TOTAL TAXABLE	\$1,220.49	\$4,716.57
TOTAL INCOME	\$1,220.49	\$4,716.57

Taxable income is determined based on information available to NFS at the time the statement was prepared, and is subject to change. Final information on taxation of interest and dividends is available on Form 1099-Div, which is mailed in February of the subsequent year.

TAXES, FEES AND EXPENSES	Current Period	Year-to-Date
Account Fees	\$0.00	(\$6.08)
TOTAL TAXES, FEES AND EXPENSES	\$0.00	(\$6.08)

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDPXKC_BBBB 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
RIETMANN LIVING TRUST - Trust Under Agreement
Account Number: RQV-003600



Account Overview *continued*

REALIZED GAIN (LOSS)	Current Period	Year-to-Date
Short Term Gain	\$0.00	\$0.00
Short Term Loss	\$0.00	\$0.00
Disallowed Short Term Loss	\$0.00	\$0.00
TOTAL SHORT TERM GAIN (LOSS)	\$0.00	\$0.00
Long Term Gain	\$0.00	\$11.40
Long Term Loss	\$0.00	\$2.82
Disallowed Long Term Loss	\$0.00	\$0.00
TOTAL LONG TERM GAIN (LOSS)	\$0.00	\$8.58

NFS-provided cost basis, realized gain (loss) and holding period information may not reflect all adjustments necessary for your tax reporting purposes. Please refer to Footnotes and Cost Basis Information at the end of this statement for more information.

MESSAGES AND ALERTS

DRS - Direct Registration System Transfer Agent Fee Effective May 1, 2014, three transfer agents, Computershare, Wells Fargo, and Registrar and Transfer Company are implementing a \$15 transfer fee for each position moved into your brokerage account via book entry Direct Registration System - DRS. If the fee is charged by the agent, NFS will pass through the charge to the account. As a reminder, there is already an existing fee charged to accounts for outgoing DRS transfers. Please contact your Financial Advisor if you have any questions regarding this fee.

Beginning in January 2019, National Financial Services will enhance the end-investor statement with the following changes. Payee details will be displayed within Activity Sections Description field for transactions that have associated Payee information. A summary level total of Short Dividends charged will be reported within the Account Overview section. Change in Value of Your Portfolio graph will show minimum and maximum scaling on the Y axis, include Negative values and, use clearer data points for information displayed.

National Financial Services LLC NFS is required by the Securities Exchange Act of 1934 to provide certain financial information from its Statement of Financial Condition. At December 31, 2018, NFS, an affiliate of Fidelity Brokerage Services LLC, had net capital of \$4.012 million, which was 13.67 percent of aggregate debit items and exceeded its minimum requirement by \$3.425 million. To acquire the Statement of Financial Condition, log on to www.mybrokerageinfo.com. If you wish to obtain a copy of this document at no cost, please call 800-439-5627.

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEEGWBCPBBDPXKC_BBBB 20190329

Statement for the Period March 1, 2019 to March 31, 2019
RIETMANN LIVING TRUST - Trust: Under Agreement
Account Number: RQV-003600



Holdings

NFS-provided cost basis, realized gain (loss) and holding period information may not reflect all adjustments necessary for tax purposes. Please refer to Footnotes and Cost Basis Information at the end of this statement for more information.

For additional information regarding your holdings, please refer to the footnotes at the end of the statement.

CASH AND CASH EQUIVALENTS - 26.30% of Total Account Value

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Unrealized Gain (Loss)
Bank Deposits						
Bank deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). Funds used to purchase or sweep to a bank deposit are SIPC protected until deposited to a Program Bank at which time funds may be eligible for FDIC insurance. Customers are responsible for monitoring their total deposits at each Program Bank to determine the extent of available FDIC insurance. Refer to the Bank Deposit Detail section which appears later in this statement for information on the banks holding your deposits. If your account was established on the last business day of this month, your statement will not include a Bank Deposit Detail section.						
ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED)	QAGCQ CASH	191,439.98	\$1.00	\$191,439.98		
Estimated Annual Yield 0.30%						
Total Cash and Cash Equivalents				\$191,439.98		

HOLDINGS > EQUITIES - 52.21% of Total Account Value

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
Equity							
ALPHABET INC CAP STK CL A	GOOGL MARGIN	11	\$1,176.89	\$12,945.79		\$1,718.88 T	\$11,226.91
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost \$156.26							
ALPHABET INC CAP STK CL C	GOOG MARGIN	11	\$1,173.31	\$12,906.41		\$1,708.91 T	\$11,197.50
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost \$155.36							
AMERICAN INTL GROUP INC COM NEW	AIG MARGIN	216	\$43.06	\$9,300.96	\$276.48	\$12,196.84	(\$2,895.88)
Estimated Yield 2.97%							

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDFXKC_BBBB 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
RIETMANN LIVING TRUST - Trust Under Agreement
Account Number: RQV-003600



HOLDINGS > EQUITIES *continued*

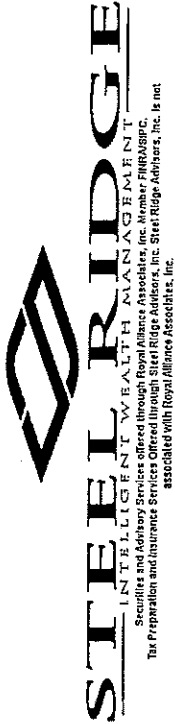
Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
AMERICAN INTL GROUP INC COM NEW							
	AIG						
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost				\$56.47			
AT&T INC COM USD1							
	T						
Estimated Yield 6.50%		1,824	\$31.36	\$57,200.64	\$3,720.96	\$16,037.68 C	\$41,162.96
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost				\$8.79			
BRIGHTHOUSE FINL INC COM							
	BHF						
Dividend Option Cash		20	\$36.29	\$725.80		\$1,286.51	(\$560.71)
Capital Gain Option Cash							
Average Unit Cost				\$64.33			
CISCO SYS INC COM							
	CSCO						
Estimated Yield 2.59%		336	\$53.99	\$18,140.64	\$470.40	\$6,149.65	\$11,990.99
Dividend Option Cash							
Capital Gain Option Cash							
Next Dividend Payable: 04/24/19							
Average Unit Cost				\$18.30			
COGNIZANT TECHNOLOGY SOLUTIONS CORP COM							
	CTSH						
Estimated Yield 1.10%		188	\$72.45	\$13,620.80	\$150.40	\$4,639.02 C	\$8,981.58
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost				\$24.68			
COMTECH TELECOMMUNICATIONS CORP COM NEW							
	CMTL						
Estimated Yield 1.72%		256	\$23.22	\$5,944.32	\$102.40	\$6,670.22 C	(\$725.90)
Dividend Option Cash							
Capital Gain Option Cash							
Next Dividend Payable: 05/17/19							
Average Unit Cost				\$26.06			
DELL TECHNOLOGIES INC CL C							
	DELL						
Dividend Option Cash		50	\$58.09	\$2,934.50		\$1,306.32	\$1,628.18
Capital Gain Option Cash							
Average Unit Cost				\$26.13			

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN _CEBGWBCPBBDPXKC_ BBBB 20190329

Statement for the Period March 1, 2019 to March 31, 2019
RIETMANN LIVING TRUST - Trust: Under Agreement
Account Number: RQV-003600



HOLDINGS > EQUITIES *continued*

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
DREYFUS HIGH YIELD STRATEGIES SH BEN INT	DHF MARGIN	1,050	\$3.07	\$3,223.50	\$296.10	\$4,694.00 T	(\$1,470.50)
Estimated Yield 9.18%							
Dividend Option Cash							
Capital Gain Option Cash							
Next Dividend Payable: 04/01/19							
Average Unit Cost \$4.47							
EXELON CORP COM NPV	EXC MARGIN	200	\$50.13	\$10,026.00	\$290.00	\$9,912.60 T	\$113.40
Estimated Yield 2.89%							
Dividend Option Cash							
Capital Gain Option Cash							
Next Dividend Payable: 04/01/19							
Average Unit Cost \$49.56							
EXXON MOBIL CORP	XOM MARGIN	200	\$80.80	\$16,160.00	\$556.00	\$13,163.62 T	\$2,996.38
Estimated Yield 4.05%							
Dividend Option Cash							
Capital Gain Option Cash							
Next Dividend Payable: 04/01/19							
Average Unit Cost \$85.82							
FACEBOOK INC-CLASS A	FB MARGIN	82	\$166.69	\$13,668.58		\$5,276.12	\$8,392.46
Dividend Option Cash							
Capital Gain Option Cash							
Next Dividend Payable: 04/01/19							
Average Unit Cost \$64.33							
FRONTIER COMMUNICATIONS CORP COM NEW	FTR MARGIN	92	\$1.99	\$183.08		\$9,173.61 C	(\$8,990.53)
Dividend Option Cash							
Capital Gain Option Cash							
Next Dividend Payable: 04/01/19							
Average Unit Cost \$99.71							
GENWORTH FINANCIAL INC COM USD0.001	GNW MARGIN	672	\$3.83	\$2,573.76		\$12,383.42	(\$9,809.66)
Dividend Option Cash							
Capital Gain Option Cash							
Next Dividend Payable: 04/01/19							
Average Unit Cost \$18.43							
INTEL CORP COM USD0.001	INTC MARGIN	294	\$53.70	\$15,787.80	\$370.44	\$8,023.86	\$7,763.94
Estimated Yield 2.34%							
Dividend Option Cash							
Capital Gain Option Cash							
Next Dividend Payable: 06/01/19							
Average Unit Cost \$27.29							

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEBGWBCPBBDPXKC_BBBB 20190329

Statement for the Period March 1, 2019 to March 31, 2019
RIETMANN LIVING TRUST - Trust Under Agreement
Account Number: RQV-003600



HOLDINGS > EQUITIES *continued*

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
INTERNATIONAL BUS MACH CORP COM USD0.20	IBM	200	\$141.10	\$28,220.00	\$1,256.00	\$16,416.82 C	\$11,803.18
Estimated Yield 4.45%	MARGIN						
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost \$82.08							
JPMORGAN CHASE & CO. COM USD1.00	JPM	200	\$101.23	\$20,246.00	\$640.00	\$8,089.80 C	\$12,146.20
Estimated Yield 3.16%	MARGIN						
Dividend Option Cash							
Capital Gain Option Cash							
Next Dividend Payable: 04/30/19							
Average Unit Cost \$40.50							
LINCOLN NATIONAL CORP COM NPV	LNC	234	\$58.70	\$13,735.80	\$346.32	\$12,295.10	\$1,440.70
Estimated Yield 2.52%	MARGIN						
Dividend Option Cash							
Capital Gain Option Cash							
Next Dividend Payable: 05/01/19							
Average Unit Cost \$52.54							
METLIFE INC COM USD0.01	MET	222	\$42.57	\$9,450.54	\$372.96	\$11,228.56	(\$1,778.02)
Estimated Yield 3.94%	MARGIN						
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost \$50.58							
MICROSOFT CORP	MSFT	231	\$117.94	\$27,244.14	\$425.04	\$7,233.35	\$20,010.79
Estimated Yield 1.56%	MARGIN						
Dividend Option Cash							
Capital Gain Option Cash							
Next Dividend Payable: 06/13/19							
Average Unit Cost \$31.31							
PRUDENTIAL FINL INC	PRU	132	\$91.88	\$12,128.16	\$528.00	\$12,131.68	(\$3.52)
Estimated Yield 4.35%	MARGIN						
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost \$91.91							
QUALCOMM INC	QCOM	94	\$57.03	\$5,360.82	\$233.12	\$4,459.36 C	\$901.46
Estimated Yield 4.34%	MARGIN						
Dividend Option Cash							

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEBGWBCPBBDPXXC_BBBBB 20190329

Statement for the Period March 1, 2019 to March 31, 2019
RIETMANN LIVING TRUST - Trust: Under Agreement
Account Number: RQV-003600



HOLDINGS > EQUITIES *continued*

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
QUALCOMM INC	QCOM	<i>continued</i>					
Capital Gain Option Cash							
Average Unit Cost							
SIRIUS XM HLDGS INC COM	SIRI						
Estimated Yield 0.85%	MARGIN	259	\$5.67	\$1,468.53	\$12.54	\$5,186.49	(\$3,717.96)
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost							
TWITTER INC COM USD0.000005	TWTR						
Dividend Option Cash	MARGIN	257	\$32.88	\$8,450.16		\$10,561.67	(\$2,111.51)
Capital Gain Option Cash							
Average Unit Cost							
VERIZON COMMUNICATIONS	VZ						
Estimated Yield 4.07%	MARGIN	862	\$59.13	\$50,970.06	\$2,077.42	\$20,044.27	\$30,925.79
Dividend Option Cash							
Capital Gain Option Cash							
Next Dividend Payable: 05/01/19							
Average Unit Cost							
VODAFONE GROUP SPON ADR EACH REP 10 ORD	VOD						
Estimated Yield 9.40%	MARGIN	405	\$18.18	\$7,362.90	\$692.59	\$1,841.40	\$5,521.50
Dividend Option Cash							
Capital Gain Option Cash							
Average Unit Cost							
Total Equity				\$379,979.49	\$12,917.17	\$223,838.76	\$156,140.73
Total Equities				\$379,979.49	\$12,917.17	\$223,838.76	\$156,140.73

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEBGWBCPBRDPXKC_BBRRB 20190329

Statement for the Period March 1, 2019 to March 31, 2019
RIETMANN LIVING TRUST - Trust: Under Agreement
Account Number: RQV-003600



HOLDINGS > FIXED INCOME - 2.47% of Total Account Value

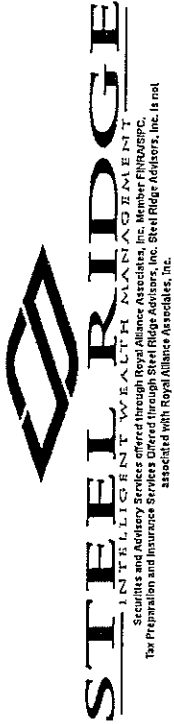
For an explanation of fixed income pricing, please see the last page. Redemption schedule(s), bond rating(s), and other information are provided where available. If information does not appear regarding a particular investment, it is not available. The ratings on this statement are provided by Standard & Poor's and/or Moody's to rate the quality based on the respective rating agency's assessment. Ratings information from Standard & Poor's ("S&P") may not be reproduced. S&P credit ratings are statements of opinion and are not statements of fact or recommendations to purchase, hold, or sell securities, nor do they address the suitability of securities for investment purposes, and should not be relied on as investment advice. S&P does not guarantee the accuracy, completeness, timeliness or availability of any information, including ratings, and is not responsible for errors or omissions (negligent or otherwise). S&P gives no express or implied warranties, including but not limited to any warranties of merchantability or fitness for a particular purpose or use. S&P shall not be liable for any direct, indirect, incidental, exemplary, compensatory, punitive, special or consequential damages, costs, expenses, legal fees, or losses (including lost income or profits and opportunity costs) in connection with any use of ratings.

Description	Symbol/Cusip Account Type	Quantity	Estimated Price on 03/31/19	Estimated Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
Corporate Bonds							
SEARS HLDGS CORP NOTE CALL MAKE WHOLE 6.62500% 10/15/2018 MOODY'S WR CPN PMT SEMI-ANNUAL ON OCT 15, APR 15 CONTINUOUSLY CALLABLE IN MONETARY DEFAULT Average Unit Cost \$97.43 Adjusted Cost Basis	812350AE6 MARGIN	150,000	\$12.00	\$18,000.00		\$146,139.00 C D	(\$128,139.00) (\$128,139.00)
Total Fixed Income		150,000		\$18,000.00		\$146,139.00 C D	(\$128,139.00) (\$128,139.00)

HOLDINGS > MUTUAL FUNDS - 19.02% of Total Account Value

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
Equity							
FIDELITY ADVISOR NEW INSIGHTS CL C Dividend Option Cash Capital Gain Option Cash Average Unit Cost \$24.46	FNICX MARGIN	5,329.855	\$25.97	\$138,416.33		\$130,370.65 C	\$8,045.68
Total Mutual Funds				\$138,416.33		\$130,370.65	\$8,045.68
Total Securities				\$536,395.82	\$12,917.17	\$500,348.41	\$36,047.41
TOTAL PORTFOLIO VALUE				\$727,835.80	\$12,917.17	\$500,348.41	\$36,047.41

Statement for the Period March 1, 2019 to March 31, 2019
RIETMANN LIVING TRUST - Trust: Under Agreement
Account Number: RQV-003600



Activity

NFS-provided cost basis, realized gain (loss) and holding period information may not reflect all adjustments necessary for tax purposes. Please refer to Footnotes and Cost Basis Information at the end of this statement for more information.

PURCHASES, SALES, AND REDEMPTIONS

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
Securities Sold					
03/11/19	CASH	YOU SOLD	FIDELITY GOVT MMKT CAPITAL RESERVES CL FZAXX TO QAGCQ	(190,384.6)	\$190,384.60
Total Securities Sold					\$190,384.60

ACTIVITY > CORE FUND ACTIVITY

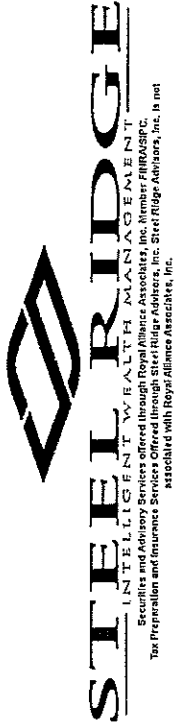
Settlement Date	Account Type	Transaction	Description	Quantity	Amount
03/01/19	CASH	YOU SOLD	FIDELITY GOVT MMKT CAPITAL RESERVES CL @ 1	(1,407.39)	\$1,407.39
03/08/19	CASH	YOU BOUGHT	FIDELITY GOVT MMKT CAPITAL RESERVES CL @ 1	72.5	(\$72.50)
03/11/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) @ 1	478	(\$478.00)
03/11/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) QAGCQ IS LIQUID	190,384.6	(\$190,384.60)
03/13/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) @ 1	93.24	(\$93.24)
03/14/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) @ 1	238.26	(\$238.26)
03/28/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) @ 1	58.28	(\$58.28)

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member NYSE, SIPC

MN_CEEGWBCPBBDPXKC_BBBBB 20190329

Statement for the Period March 1, 2019 to March 31, 2019
RIETMANN LIVING TRUST - Trust: Under Agreement
Account Number: RQV-003600



ACTIVITY > CORE FUND ACTIVITY *continued*

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
03/29/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) @ 1	156.19	(\$156.19)
03/29/19	CASH	REINVESTMENT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) NET INT REINVEST	31.41	(\$31.41)
TOTAL CORE FUND ACTIVITY					(\$190,105.09)

ACTIVITY > ADDITIONS AND WITHDRAWALS > OTHER ADDITIONS AND WITHDRAWALS

Date	Account Type	Transaction	Description	Quantity	Amount
03/07/19	CASH	EFT FUNDS PAID	EFT FUNDS PAID ED97023579 STERLING NATIONAL BANK *****7317		(\$1,500.00)
Total Other Additions and Withdrawals					(\$1,500.00)
TOTAL ADDITIONS AND WITHDRAWALS					(\$1,500.00)

ACTIVITY > INCOME > TAXABLE INCOME

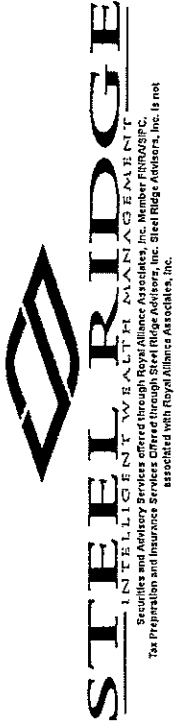
Settlement Date	Account Type	Transaction	Description	Quantity	Amount
Taxable Dividends					
03/01/19	MARGIN	DIVIDEND RECEIVED	INTEL CORP COM USD0.001		\$92.61
03/08/19	MARGIN	DIVIDEND RECEIVED	EXELON CORP COM NPV		\$72.50
03/09/19	MARGIN	DIVIDEND RECEIVED	INTERNATIONAL BUS MACH CORP COM USD0.20		\$314.00
03/11/19	MARGIN	DIVIDEND RECEIVED	EXXON MOBIL CORP		\$164.00
03/13/19	MARGIN	DIVIDEND RECEIVED	METLIFE INC COM USD0.01		\$93.24

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member NYSE, SIPC

MN_CEBGWBCPBBDPXKC_BBBB 20190329

Statement for the Period March 1, 2019 to March 31, 2019
RIETMANN LIVING TRUST - Trust: Under Agreement
Account Number: RQV-003600



ACTIVITY > INCOME > TAXABLE INCOME *continued*

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
03/14/19	MARGIN	DIVIDEND RECEIVED	MICROSOFT CORP		\$106.26
03/14/19	MARGIN	DIVIDEND RECEIVED	PRUDENTIAL FINL INC		\$132.00
03/28/19	MARGIN	DIVIDEND RECEIVED	QUALCOMM INC		\$58.28
03/29/19	MARGIN	DIVIDEND RECEIVED	AMERICAN INTL GROUP INC COM NEW		\$69.12
03/29/19	CASH	DIVIDEND RECEIVED	FIDELITY GOVT MMKT CAPITAL RESERVES CL DIVIDEND RECEIVED		\$87.07
Total Taxable Dividends					\$1,189.08
Taxable Interest					
03/29/19	CASH	INTEREST RECEIVED	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED)		\$31.41
Total Taxable Interest					\$31.41
Total Taxable Income					\$1,220.49
TOTAL INCOME					\$1,220.49

ACTIVITY > PENDING DISTRIBUTIONS

Pending dividends and stock distributions reflect projected values only, are subject to change and may not represent the actual amount, if any, that you may receive. This information is provided for informational purposes only and should not be relied on for tax reporting or other purposes.

Symbol/Cusip	Security Description	Eligible Quantity	Rate	Payment Amount
Pending Accrued Dividends DHF	DREYFUS HIGH YIELD STRATEGIES SH BEN INT	1,050	\$0.02	\$24.68
Total Pending Accrued Dividends				\$24.68

Statement for the Period March 1, 2019 to March 31, 2019
RIETMANN LIVING TRUST - Trust: Under Agreement
Account Number: RQV-003600



ACTIVITY > BANK DEPOSIT DETAIL

Bank deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). Customers are responsible for monitoring their total deposits at each Program Bank to determine the extent of available FDIC insurance. Your Ending Balance at each Program Bank as of the end of this statement period is shown below. If you participate in a Bank Deposit Sweep Program and also hold a Bank Deposit Direct Investment, the Bank Deposit Detail section lists banks and ending balances for both programs. Funds pending settlement reflect deposits to (credit) or withdrawals from (debit) a Program Bank. Subject to the terms of the applicable bank deposit disclosure, customers are reminded that funds are deposited to a Program Bank on the business day following the date that funds are credited to your account and until swept to a Program Bank, funds are covered by SIPC.

Bank	Beginning Balance	Ending Balance
Capital One Bank	\$0.00	\$191,283.79
Current Month's Pending Settlement		\$156.19
Total Bank Deposits	\$0.00	\$191,439.98

Footnotes and Cost Basis Information

Amortization, accretion and similar adjustments to cost basis have been provided for many fixed income securities (and some bond-like equities), however, they are not provided for certain types, such as short-term investments, Unit Investment Trusts, foreign fixed income securities, or those that are subject to early prepayment of principal (pay downs). Where current year premium or acquisition premium amortization is provided, the prior years' cumulative amortization is reflected in the adjusted cost basis, but we cannot provide a breakdown or the total of such prior amortization amounts.

NFS is required to report certain cost basis and related information to the IRS on the Form 1099-B. Your official 1099-B forms for certain transactions will reflect which lots have been sold for tax purposes. To apply a specific identification cost basis method to 1099-B reporting, appropriate instructions must be on file with NFS or be received by NFS before the trade has settled. Absent such instructions, NFS determines cost basis at the time of sale based on its default methods of average cost for open-end mutual funds and first-in, first-out (FIFO) for all other (including ETFs) unless your broker dealer has elected to use another default method. NFS applies FIFO (or other disposal method, if applicable) based on its records, which may be different from yours. For transactions that are not subject to 1099-B cost basis reporting, you should refer to your trade confirmations and other applicable records to determine which lots were considered sold for tax purposes.

While NFS must meet IRS requirements with respect to certain information required to be reported to the IRS, NFS-provided cost basis, realized gain and loss, and holding period information may not reflect all adjustments necessary for your tax reporting purposes. NFS makes no warranties with respect to and specifically disclaims any liability arising out of a customer's use of, or any tax position taken in reliance upon, such information.

For investments in partnerships, NFS does not make any adjustments to cost basis information as the calculation of basis in such investments requires supplemental information from the partnership on its income and distributions during the period you held your investment. Partnerships usually provide this additional information on a Form K-1 issued by April 15th of the following year.

Consult your tax advisor for further information.

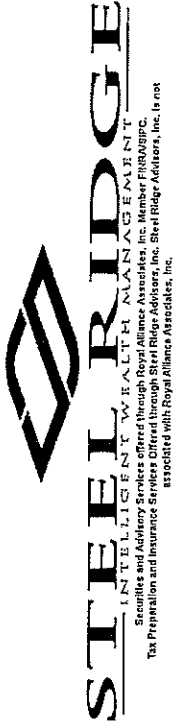
C - Cost basis information (or proceeds from short sales) was provided by you. We treat it as original cost basis. For equities, we will adjust the cost basis for any corporate actions which our system supports from the date the security was transferred to the account. For asset-backed fixed income securities, we will adjust the cost basis for principal pay downs from the date the security was transferred to the account. We do not apply any wash sale rules to tax lots with customer-provided cost basis. In certain cases, when positions are transferred between accounts the cost basis information may be automatically transferred and deemed to be customer-provided. T - Cost basis information was provided by a third party. We treat it as original cost basis, as of the date it is provided, and we assume that for equities, it reflects any prior corporate actions, and for asset-backed fixed income securities, it reflects any prior principal pay downs. D - Adjusted cost basis reflects any cumulative original issue discount, premium, or acquisition premium, and it assumes such amounts were amortized by the taxpayer over the life of the security from acquisition date through disposition date. For securities still held, maturity date was used instead of disposition date. Premium amortization was calculated using the yield-to-maturity method. Acquisition premium was calculated using the ratable accrual method. If applicable, adjusted cost basis reflects market discount accretion which was calculated using the straight-line method and was recognized at disposition date. Gain/loss displayed for this transaction was based on cost basis as adjusted for premium and discount as stated above and does not reflect any losses disallowed because of wash sales (if

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC. Member
NYSE, SIPC

MN_CEBGWBCPBDDPKC_BBBB3 20190329

Statement for the Period March 1, 2019 to March 31, 2019
RIETMANN LIVING TRUST - Trust: Under Agreement
Account Number: RQV-003600



Footnotes and Cost Basis Information *continued*

applicable). The adjusted cost basis may not reflect all adjustments necessary for tax reporting purposes and may also not apply if you are using an alternative amortization calculation method. Refer to IRS Publication 550, Investment Income and Expenses, for additional information.

If a sale, redemption or other disposition involved multiple tax lots, the transaction's totals may have been calculated using a combination of adjusted and unadjusted cost basis information. For lots where adjusted cost basis and its associated gain/loss are known, that was used, otherwise "regular" unadjusted cost basis and its associated gain/loss was used.

Miscellaneous Footnotes

CHANGE IN VALUE OF YOUR PORTFOLIO is the change in market value of your portfolio assets over the time period shown. The portfolio assets include the market value of all the securities in the account, plus insurance and annuity assets if applicable. The time frame of the graph is from account opening or September 2011, whichever is later, to the current period. Please note that large increases and/or declines in the change in the value of the portfolio can be due to additions, distribution and/or performance.

CHANGE IN VALUE reflects appreciation or depreciation of your holdings due to price changes plus any activity not reflected within Additions and Withdrawals, Income, Taxes, Fees and Expenses, and Other Activity sections. Change in Value does not reflect activity related to assets in which NFS is not the custodian (e.g. Insurance and Annuities, Assets Held Away and Other Assets Held Away).

MARGIN - You have been approved for margin privileges and may borrow money from NFS in exchange for pledging the assets in your account(s) as collateral for any outstanding margin loan. The amount you may borrow is based on the value of securities in your margin account, identified as Margin Positions Market Value on this statement. This statement shows the combined balance of your margin account and a special memorandum account maintained for you under Section 220.5 of Regulation T issued by the Board of Governors of the Federal Reserve Board. The permanent record of the separate account, as required by Regulation T, is available for your inspection.

MARGIN POSITIONS MARKET VALUE is the market value for all positions held in the margin account using the previous business day's closing price.

MARGIN BALANCE is the net U.S. dollar equivalent value of all currency balances (credit and/or debit) held in your margin account, as well as pending trades that will settle after the closing date of the statement and amounts needed to meet margin requirements.

SHORT POSITIONS MARKET VALUE is the market value for all positions held in the short account using the previous business day's closing price.

SHORT BALANCE is the net U.S. dollar equivalent value of all currency balances (credit and/or debit) held in your short account, as well as pending trades that will settle after the closing date of the statement and amounts needed to meet margin requirements.

MARGIN EQUITY is the value of all margin positions in the account less any margin debit balance plus any margin credit balance.

MARGIN EQUITY PERCENTAGE is the equity percentage of the margin market value of the account (The margin equity divided by the margin market value).

EQUITY BUYING POWER is the maximum dollar amount available, including cash and margin, to purchase marginable equity securities without adding money to the account. Buying power calculations include open order commitments, intraday trade executions, and money movement into and out of the account.

MARGIN INTEREST CHARGED THIS PERIOD is the U.S. dollar equivalent value of the interest charged on margin debit balances since the last statement period.

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEBGWBCPBBDPXKC_BBBBBB 20190329

Statement for the Period March 1, 2019 to March 31, 2019
RIETMANN LIVING TRUST - Trust: Under Agreement
Account Number: RQV-003600



Miscellaneous Footnotes *continued*

CALLABLE SECURITIES LOTTERY - When street name or bearer securities held for you are subject to a partial call or partial redemption by the issuer, NFS may or may not receive an allocation of called/redeemed securities by the issuer, transfer agent and/or depository. If NFS is allocated a portion of the called/redeemed securities, NFS utilizes an impartial lottery allocation system, in accordance with applicable rules, that randomly selects the securities within customer accounts that will be called/redeemed. NFS' allocations are not made on a pro rata basis and it is possible for you to receive a full or partial allocation, or no allocation. You have the right to withdraw uncalled fully paid securities at any time prior to the cutoff date and time established by the issuer, transfer agent and/or depository with respect to the partial call, and also to withdraw excess margin securities provided your account is not subject to restriction under Regulation T or such withdrawal will not cause an undermargined condition.

PRICING INFORMATION - Prices displayed are obtained from sources that may include pricing vendors, broker/dealers who clear through NFS and/or other sources. Prices may not reflect current fair market value and/or may not be readily marketable or redeemable at the prices shown.

FOREIGN EXCHANGE TRANSACTIONS - Some transaction types necessitate a foreign currency exchange (FX) in order to settle. FX transactions may be effected by Fidelity Forex, Inc. on a principal basis. Fidelity Forex, Inc., an affiliate of NFS, may impose a commission or markup on the prevailing interbank market price, which may result in a higher price to you. Fidelity Forex, Inc. may share a portion of any FX commission or markup with NFS. More favorable rates may be available through third parties not affiliated with NFS. The rate applicable to any transaction involving an FX is available upon request through your broker-dealer.

COST BASIS LEGISLATION - New IRS Rules will require National Financial Services to report cost basis and holding period information for the sale of shares of open end Mutual Fund holdings purchased on or after January 1, 2012 on Form 1099-B. National Financial Services determines the cost basis for all shares of open end mutual funds using a default method of average cost. Alternatively, account owners or their brokers and advisors can instruct National Financial Services to determine the cost basis for shares of open end mutual funds by 1) setting up their non-retirement accounts with one of our eleven tax lot disposal methods available to investors or 2) identifying specific tax lots to sell at the time of a transaction. Contact your broker or advisor to learn more about the cost basis tracking of your holdings.

GLOSSARY Short Account Balances. If you have sold securities under the short sale rule, we have, in accordance with regulations, segregated the proceeds from such transactions in your Short Account. Any market increases or decreases from the original sale price will be marked to the market and will be transferred to your Margin Account on a weekly basis. **Market Value** - The Total Market Value has been calculated out to 9 decimal places. However, the individual unit price is displayed in 5 decimal places. The Total Market Value represents prices obtained from various sources, may be impacted by the frequency in which such prices are reported and such prices are not guaranteed. Prices received from pricing vendors are generally based on current market quotes, but when such quotes are not available the pricing vendors use a variety of techniques to estimate value. These estimates, particularly for **fixed income securities**, may be based on certain minimum principal amounts (e.g. \$1 million) and may not reflect all of the factors that affect the value of the security, including liquidity risk. The prices provided are not firm bids or offers. Certain securities may reflect "N/A" or "unavailable" where the price for such security is generally not available from a pricing source. The Market Value of a security, including those priced at par value, may differ from its purchase price and may not

CUSTOMER SERVICE: Please review your statement and report any inaccuracy or discrepancy immediately by calling the telephone number of your broker-dealer reflected on the front of this statement. Reports of any inaccuracy or discrepancy regarding your brokerage account or the activity therein should be directed to your broker-dealer at the telephone number and address reflected on the front of this statement and National Financial Services LLC ("NFS").

NFS carries your brokerage account and acts as your custodian for funds and securities that are deposited with NFS by you or your broker-dealer. In addition to your initial contact with your broker-dealer you may contact NFS at (800) 801-9942. Any oral communications regarding inaccuracies or discrepancies should be reconfirmed in writing to protect your rights, including those under the Securities Investor Protection Act ("SIPA"). When contacting either your broker-dealer or NFS, remember to include your entire brokerage account number to ensure a prompt reply.

ADDITIONAL INFORMATION Free credit balances ("FCB") are funds payable to you on demand. FCB are subject to open commitments such as uncleared checks and exclude proceeds from sales of certificated securities without delivery of the certificate. If your FCB is swept to a core position, you can liquidate the core position and have the proceeds sent to you or held in your account subject to the terms of your account agreement. Required rule 10b-10(a) information not contained herein will be provided on written request. Fidelity may use this free credit balance in connection with its business, subject to applicable law.

Credit Adjustment Program. Accountholders receiving payments in lieu of qualified dividends may not be eligible to receive credit adjustments intended to help cover additional associated federal tax burdens. NFS reserves the right to deny the adjustment to any account holder and to amend or terminate the credit adjustment program.

Options Customers. Each transaction confirmation previously delivered to you contains full information about commissions and other charges. If you require further information, please contact your broker-dealer.

Assignments of American and European-style options are allocated among customer short positions pursuant to a random allocation procedure, a description of which is available upon request. Short positions in

American-style options are liable for assignment at any time. The writer of a European-style option is subject to exercise assignment only during the exercise period. You should advise your broker-dealer promptly of any material change in your investment objectives or financial situation. **Splits, Dividends, and Interest.** Expected stock split, next dividend payable, and next interest payable information has been provided by third parties and may be subject to change. Information for certain securities may be missing if not received from third parties in time for printing. NFS is not responsible for inaccurate, incomplete, or missing information. Please consult your broker-dealer for more information about expected stock split, next dividend payable, and next interest payable for certain securities.

Equity Dividend Reinvestment Customers. Shares credited to your brokerage account resulted from transactions effected as agent by either: 1) Your broker-dealer for your investment account, or 2) through the Depository Trust Company (DTC) dividend reinvestment program. For broker-dealer effected transactions, the time of the transactions, the exchange upon which these transactions occurred and the name of the person from whom the security was purchased will be furnished upon written request. NFS may have acted as market maker in effecting trades in 'over-the-counter' securities.

Retirement Contributions/Distributions. A summary of retirement contributions/distributions is displayed for you in the activity summary section of your statement. **Income Reporting.** NFS reports earnings from investments in Traditional IRAs, Rollover IRAs, SEP-IRAs and, Keoghs as tax-deferred income. Earnings from Roth IRAs are reported as tax-free income, since distributions may be tax-free after meeting the 5 year aging requirement and certain other conditions. A financial statement of NFS is available for your personal inspection at its office or a copy of it will be mailed to you upon your written request.

Statement Mailing. NFS will deliver statements by mail or, if applicable, notify you by e-mail of your statement's availability, if you had transactions that affected your cash balances or security positions held in your account(s) during the last monthly reporting period. At a minimum, all brokerage customers will receive quarterly statements (at least four times per calendar year) as long as their accounts contain a cash or securities balance.

Loads and Fees. In connection with (i) access to, purchase or redemption of, and/or maintenance of positions in mutual funds and other investment products ("funds") or (ii) infrastructure needed to support such funds, some funds, or their investment affiliates, pay your introducing broker dealer and/or NFS sales loads and 12b-1 fees

Royal Alliance Associates, Inc.

MN_CEBGWBCPBDPXKC_BBBB 20190329

closely reflect the value at which the security may be sold or purchased based on various market factors. Investment decisions should be made only after consulting your broker-dealer.

Estimated Annual Income (EAI) & Estimated Yield (EY) - EAI for fixed income is calculated using the coupon rate. For all other securities, EAI is calculated using an indicated annual dividend (IAD). The IAD is an estimate of a security's dividend payments for the next 12 months calculated based on prior and/or declared dividends for that security. EY reflects only the income generated by an investment and not changes in its price which may fluctuate. Interest and dividend rates are subject to change at any time and may be affected by current and future economic, political and business conditions. EAI and EY are estimates only and may include return of principal and/or capital gains, which would render them overstated. EAI and EY are provided for informational purposes only and should not be used or relied on for making investment, trading or tax decisions. EAI and EY are based on data obtained from information providers believed to be reliable, but no assurance can be made as to accuracy, timeliness or completeness.

described in the prospectus as well as additional compensation for shareholder services, start-up fees, infrastructure support and maintenance, and other programs. Additional information about the source(s) and amount(s) of compensation as well as other remuneration received by your introducing broker dealer and/or NFS will be furnished to you upon written request. At time of purchase, any fees applicable to your transaction will be assessed based on the status assigned to the shares at time of purchase. **Margin.** If you have applied for margin privileges and been approved, you may borrow money from NFS in exchange for pledging the assets in your account as collateral for any outstanding margin loan. The amount you may borrow is based on the value of securities in your margin account, which is identified on your statement. If you have a margin account, this is a combined statement of your margin account and special memorandum account other than your non-purpose margin accounts maintained for you under Section 220.5 of Regulation T issued by the Board of Governors of the Federal Reserve Board. The permanent record of the separate account, as required by Regulation T, is available for your inspection upon request. **NYSE and FINRA.** All transactions are subject to the constitution, rules, regulations, customs, usages, rulings and interpretations of the exchange market and its clearing house, if any, where the transactions are executed, and of the New York Stock Exchange (NYSE) and of the Financial Industry Regulatory Authority ("FINRA"). The FINRA requires that we notify you in writing of the availability of an investor brochure that includes information describing FINRA Regulation's BrokerCheck Program ("Program"). To obtain a brochure or more information about the Program or FINRA Regulation, contact the FINRA Regulation BrokerCheck Program Hotline at (800) 289-9999 or access the FINRA's web site at www.finra.org.

4311 requires that your broker-dealer and NFS allocate between them certain functions regarding the administration of your brokerage account. The following is a summary of the allocation services performed by your broker-dealer and NFS. A more complete description is available upon request. **Your broker-dealer is responsible for:** (1) obtaining and verifying brokerage account information and documentation, (2) opening, approving and monitoring your brokerage account, (3) transmitting timely and accurate orders and other instructions to NFS with respect to your brokerage account, (4) determining the suitability of investment recommendations and advice, (5) operating, and supervising your brokerage account and its own activities in compliance with applicable laws and regulations including compliance with margin rules pertaining to your margin account, if applicable, and (6) maintaining required books and records for the services that it performs. **NFS shall, at the direction of your broker-dealer:** (1) execute, clear and settle transactions processed through NFS by your broker-dealer, (2) prepare and send transaction confirmations and periodic statements of your brokerage account (unless your broker-dealer has undertaken to do so). Certain securities pricing and descriptive information may be provided by your broker-dealer or obtained from third parties deemed to be reliable, however, this information has not been verified by NFS, (3) act as custodian for funds and securities received by NFS on your behalf, (4) follow the instructions of your broker-dealer with respect to transactions and the receipt and delivery of funds and securities for your brokerage account, and (5) extend margin credit for purchasing or carrying securities on margin. Your broker-dealer is responsible for ensuring that your brokerage account is in compliance with federal, industry and NFS margin rules, and for advising you of margin requirements. NFS shall maintain the required books and records for the services it performs. Securities in accounts carried by NFS are protected in accordance with the Securities Investor Protection Corporation ("SIPC") up to \$500,000. The \$500,000 total amount of SIPC protection is inclusive of up to \$250,000 protection for claims for cash, subject to periodic adjustments for inflation in accordance with terms of the SIPC statute and approval by SIPC's Board of Directors. NFS also has arranged for coverage above these limits. Neither coverage protects against a decline in the market value of securities, nor does either coverage extend to certain securities that are considered ineligible for coverage. For more details on SIPC, or to request a SIPC brochure, visit www.sipc.org or call 1-202-371-8300. Funds used to purchase or sweep to a bank deposit are SIPC protected until deposited to a Program Bank at which time funds may be eligible for FDIC insurance. Assets Held Away, commodities, unregistered investment contracts, futures accounts, leased securities and other investments may not be covered. Precious metals are not covered by SIPC protection. Mutual funds and/or other securities are not backed or guaranteed by any bank, nor are they insured by the FDIC and involve investment risk including possible loss of principal.

End of Statement

7222397.0

Account carried with National Financial Services LLC, Member
NYSE, SIPC

This page is left intentionally blank

UNITED STATES BANKRUPTCY COURT
SOUTHERN DISTRICT OF NEW YORK

X
:
:
In Re : Chapter 11
Case No. 18-23538 (RDD)

SEARS HOLDING CORPORATION, et al.,

Debtors

(Jointly Administered)

X

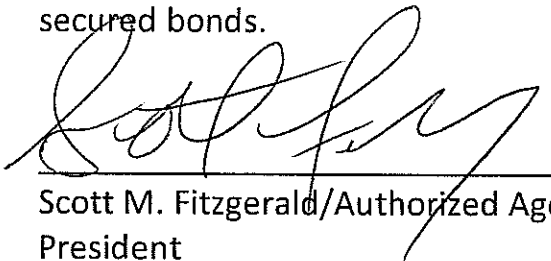
Response to objection by Sears Holding to Proofs of Claims (Reclassifying Claims)

Claim # 18004/USD 18,000.

Claim #17342/USD 32,000.

Maria Muller
17 Wallingford Dr.
Melville, NY 11747

Please do not allow Sears Corporation to (i)reclassify to general unsecured claims,
as I own second lien PIK notes and purchased these specifically based they were
secured bonds.



Scott M. Fitzgerald/Authorized Agent
President

Steel Ridge Advisors
1377 Motor Pkwy, Suite 204
Islandia, NY 11749
sfitzgerald@steelridgeadvisors.com
(631) 353-0003

11/5/2021

Contact 844.384.4460 Client Login



Sears Holdings Corporation (18-23538)

[CHANGE CASE](#)

[Case Info](#) [Docket](#) [Claims](#) [Submit a Claim](#) [Submit Inquiry](#)

[Search Docket](#) [Search Claim](#)

Q Enter number or name

Schedule	Claim #	Filed Date	Creditor Name	Debtor Name	Claim Value
	18004	04/10/2019	Muller, Maria	Sears Holdings Corporation	\$ 18,000.00

Creditor Data Details for Claim # 18004

Creditor Muller, Maria	Date Filed 04/10/2019
Debtor Name Sears Holdings Corporation	Claim Number 18004
Schedule Number	Proof of Claim View PDF Email PDF

Schedule	Amount CUD*	Asserted Claim Amount CUF*	Current Claim Status Claim Value
General Unsecured			
Priority			
Secured		\$18,000.00	\$18,000.00 Asserted
503(b)(9) Admin Priority			
Admin Priority			
Total	\$0.00	\$18,000.00	\$18,000.00

*C=Contingent, U=Unliquidated, D=Disputed, F=Foreign

Prime Clerk maintains this website for the public's convenience and for general informational purposes only. Anyone using this website is cautioned NOT to rely on any information contained on this Website, and any user of this website should not take or refrain from taking any action based upon anything included or not included on this website. We are not a law firm or a substitute for

[Open in new window](#)

Select scope

Claims Only

Claim Number(s)(e.g. 1,3,5-7)

18004

Schedule Number

Creditor name

Debtor(s)

Sears Holdings Corporation(18-23538)

Select Classification

Select an Option

Select Search Operator

Select an Option

Amount

Date from

Date to

-

[Search Claim](#)

[Reset](#)

Page 1 of 1

20

View 1 of 1

[Home](#) [Leadership](#) [Disclaimer](#) [Terms & Conditions](#)

©2016 Prime Clerk. All rights reserved.

Contact 844.384.4460 Client Login



Sears Holdings Corporation (18-23538)

[CHANGE CASE](#)

[Case Info](#) [Docket](#) [Claims](#) [Submit a Claim](#) [Submit Inquiry](#)

[Search Docket](#) [Search Claim](#)

Schedule	Claim #	Filed Date	Creditor Name	Debtor Name	Claim Value
	18004	04/10/2019	Muller, Maria	Sears Holdings Corporation	\$ 18,000.00

Creditor Data Details for Claim # 18004

Creditor
Muller, Maria

Date Filed
04/10/2019

Debtor Name
Sears Holdings Corporation
Schedule Number

Claim Number
18004

Proof of Claim
[View PDF](#) [Email PDF](#)

Schedule Amount CUD*	Asserted Claim Amount CUF*	Current Claim Status	Claim Value
General Unsecured	\$18,000.00	Asserted	\$18,000.00
Priority			
Secured			
503(b)(9) Admin Priority			
Admin Priority			
Total	\$0.00		\$18,000.00

*C=Contingent, U=Unliquidated, D=Disputed, F=Foreign

Prime Clerk maintains this website for the public's convenience and for general informational purposes only. Anyone using this website is cautioned NOT to rely on any information contained on this website, and any user of this website should not take or refrain from taking any action based upon anything included or not included on this website. We are not a law firm or a substitute for

[Open in new window](#)

Select scope

Claim Number(s)(e.g. 1,3,5-7)

Schedule Number

Creditor name

Debtor(s)

Select Classification

Select Search Operator

Amount

Date from

Date to

--

[Search Claim](#)

[Reset](#)

Page 1 of 1

29

View 1 of 1

[Home](#) [Leadership](#) [Disclaimer](#) [Terms & Conditions](#)

©2016 Prime Clerk. All rights reserved.

Fill in this information to identify the case (Select only one Debtor per claim form):

<input checked="" type="checkbox"/> Sears Holdings Corporation (18-23538)	<input type="checkbox"/> Kmart Corporation (18-23549)	<input type="checkbox"/> Sears, Roebuck de Puerto Rico, Inc. (18-23561)	<input type="checkbox"/> MyGofer LLC (18-23573)	<input type="checkbox"/> Kmart.com LLC (18-23585)
<input type="checkbox"/> Sears, Roebuck and Co. (18-23537)	<input type="checkbox"/> MaxServ, Inc. (18-23550)	<input type="checkbox"/> SYW Relay LLC (18-23562)	<input type="checkbox"/> Sears Brands Business Unit Corporation (18-23574)	<input type="checkbox"/> Sears Brands Management Corporation (18-23586)
<input type="checkbox"/> Kmart Holding Corporation (18-23539)	<input type="checkbox"/> Private Brands, Ltd. (18-23551)	<input type="checkbox"/> Wally Labs LLC (18-23563)	<input type="checkbox"/> Sears Holdings Publishing Company, LLC (18-23575)	<input type="checkbox"/> SHC Licensed Business LLC (18-23616)
<input type="checkbox"/> Kmart Operations LLC (18-23540)	<input type="checkbox"/> Sears Development Co. (18-23552)	<input type="checkbox"/> Big Beaver of Florida Development, LLC (18-23564)	<input type="checkbox"/> Kmart of Michigan, Inc. (18-23576)	<input type="checkbox"/> SHC Promotions LLC (18-23630)
<input type="checkbox"/> Sears Operations LLC (18-23541)	<input type="checkbox"/> Sears Holdings Management Corporation (18-23553)	<input type="checkbox"/> California Builder Appliances, Inc. (18-23565)	<input type="checkbox"/> SHC Desert Springs, LLC (18-23577)	<input type="checkbox"/> SRe Holding Corporation (19-22301)
<input type="checkbox"/> ServiceLive, Inc. (18-23542)	<input type="checkbox"/> Sears Home & Business Franchises, Inc. (18-23554)	<input type="checkbox"/> Florida Builder Appliances, Inc. (18-23566)	<input type="checkbox"/> SOE, Inc. (18-23578)	
<input type="checkbox"/> A&E Factory Service, LLC (18-23543)	<input type="checkbox"/> Sears Home Improvement Products, Inc. (18-23555)	<input type="checkbox"/> KBL Holding Inc. (18-23567)	<input type="checkbox"/> StarWest, LLC (18-23579)	
<input type="checkbox"/> A&E Home Delivery, LLC (18-23544)	<input type="checkbox"/> Sears Insurance Services, L.L.C. (18-23556)	<input type="checkbox"/> KLC, Inc. (18-23568)	<input type="checkbox"/> STI Merchandising, Inc. (18-23580)	
<input type="checkbox"/> A&E Lawn & Garden, LLC (18-23545)	<input type="checkbox"/> Sears Procurement Services, Inc. (18-23557)	<input type="checkbox"/> Sears Protection Company (Florida), L.L.C. (18-23569)	<input type="checkbox"/> Troy Coolidge No. 13, LLC (18-23581)	
<input type="checkbox"/> A&E Signature Service, LLC (18-23546)	<input type="checkbox"/> Sears Protection Company (18-23558)	<input type="checkbox"/> Kmart of Washington LLC (18-23570)	<input type="checkbox"/> BlueLight.com, Inc. (18-23582)	
<input type="checkbox"/> FBA Holdings Inc. (18-23547)	<input type="checkbox"/> Sears Protection Company (PR) Inc. (18-23559)	<input type="checkbox"/> Kmart Stores of Illinois LLC (18-23571)	<input type="checkbox"/> Sears Brands, L.L.C. (18-23583)	
<input type="checkbox"/> Innovel Solutions, Inc. (18-23548)	<input type="checkbox"/> Sears Roebuck Acceptance Corp. (18-23560)	<input type="checkbox"/> Kmart Stores of Texas LLC (18-23572)	<input type="checkbox"/> Sears Buying Services, Inc. (18-23584)	

Proof of Claim

04/16

Read the instructions before filling out this form. This form is for making a claim for payment in a bankruptcy case. Do not use this form to make a request for payment of an administrative expense, other than a claim entitled to administrative priority pursuant to 11 U.S.C. § 503(b)(9). Make such a request according to 11 U.S.C. § 503.

Filers must leave out or redact information that is entitled to privacy on this form or on any attached documents. Attach redacted copies of any documents that support the claim, such as promissory notes, purchase orders, invoices, itemized statements of running accounts, contracts, judgments, mortgages, and security agreements. Do not send original documents; they may be destroyed after scanning. If the documents are not available, explain in an attachment.

A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

Fill in all the information about the claim as of the date the case was filed. That date is on the notice of bankruptcy (Form 309) that you received.

Part 1: Identify the Claim

1. Who is the current creditor?	MARIA MULLER Name of the current creditor (the person or entity to be paid for this claim) Other names the creditor used with the debtor _____	
2. Has this claim been acquired from someone else?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. From whom? _____	
3. Where should notices and payments to the creditor be sent? Federal Rule of Bankruptcy Procedure (FRBP) 2002(g)	Where should notices to the creditor be sent? 17 WALLINGFORD DR MELVILLE, NY 11747	Where should payments to the creditor be sent? (if different) NATIONAL FINANCIAL SERVICES C/O ROYAL ALLIANCE 10 EXCHANGE PLAZA SUITE 1410 JERSEY CITY, NJ 07302 RQ4-000811
	Contact phone 631-549-1735 Contact email _____	Contact phone 631-353-0003 Contact email sfitzgerald@steelridgeadvisors.com
4. Does this claim amend one already filed?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. Claim number on court claims registry (if known) _____ Filed on _____ MM / DD / YYYY	
5. Do you know if anyone else has filed a proof of claim for this claim?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. Who made the earlier filing? _____	

Part 2: Give Information About the Claim as of the Date the Case Was Filed

6. Do you have any number you use to identify the debtor? ☐ No ☒ Yes. Last 4 digits of the debtor's account or any number you use to identify the debtor: 9 3 5 6

7. How much is the claim? \$ 18,000.00 Does this amount include interest or other charges?
☒ No
☐ Yes. Attach statement itemizing interest, fees, expenses, or other charges required by Bankruptcy Rule 3001(c)(2)(A).

8. What is the basis of the claim? Examples: Goods sold, money loaned, lease, services performed, personal injury or wrongful death, or creditcard.
Attach redacted copies of any documents supporting the claim required by Bankruptcy Rule 3001(c).
Limit disclosing information that is entitled to privacy, such as health care information.

9. Is all or part of the claim secured? ☐ No ☒ Yes. The claim is secured by a lien on property.
Nature of property:
☐ Real estate. If the claim is secured by the debtor's principal residence, file a *Mortgage Proof of Claim Attachment* (Official Form 410-A) with this *Proof of Claim*.
☐ Motor vehicle
☒ Other. Describe: SEARS HLDGS CORP. 6 5/8% SENIOR SECURED NOTE Due 10/15/18
Basis for perfection: _____
Attach redacted copies of documents, if any, that show evidence of perfection of a security interest (for example, a mortgage, lien, certificate of title, financing statement, or other document that shows the lien has been filed or recorded.)
Value of property: \$ _____
Amount of the claim that is secured: \$ _____
Amount of the claim that is unsecured: \$ _____ (The sum of the secured and unsecured amounts should match the amount in line 7.)
Amount necessary to cure any default as of the date of the petition: \$ _____
Annual Interest Rate (when case was filed) _____ %
☐ Fixed
☐ Variable

10. Is this claim based on a lease? ☒ No ☐ Yes. Amount necessary to cure any default as of the date of the petition. \$ _____

11. Is this claim subject to a right of setoff? ☒ No ☐ Yes. Identify the property: _____

12. Is all or part of the claim entitled to priority under 11 U.S.C. § 507(a)?

☒ No

☐ Yes. Check one:

Amount entitled to priority

A claim may be partly priority and partly nonpriority. For example, in some categories, the law limits the amount entitled to priority.

☐ Domestic support obligations (including alimony and child support) under 11 U.S.C. § 507(a)(1)(A) or (a)(1)(B).

\$ _____

☐ Up to \$2,850* of deposits toward purchase, lease, or rental of property or services for personal, family, or household use. 11 U.S.C. § 507(a)(7).

\$ _____

☐ Wages, salaries, or commissions (up to \$12,850*) earned within 180 days before the bankruptcy petition is filed or the debtor's business ends, whichever is earlier. 11 U.S.C. § 507(a)(4).

\$ _____

☐ Taxes or penalties owed to governmental units. 11 U.S.C. § 507(a)(8).

\$ _____

☐ Contributions to an employee benefit plan. 11 U.S.C. § 507(a)(5).

\$ _____

☐ Other. Specify subsection of 11 U.S.C. § 507(a)() that applies.

\$ _____

* Amounts are subject to adjustment on 4/01/19 and every 3 years after that for cases begun on or after the date of adjustment.

13. Is all or part of the claim entitled to administrative priority pursuant to 11 U.S.C. § 503(b)(9)?

☒ No

☐ Yes. Indicate the amount of your claim arising from the value of any goods received by the Debtor within 20 days before the date of commencement of the above case, in which the goods have been sold to the Debtor in the ordinary course of such Debtor's business. Attach documentation supporting such claim.

\$ _____

Part 3: Sign Below

The person completing this proof of claim must sign and date it. FRBP 9011(b).

If you file this claim electronically, FRBP 5005(a)(2) authorizes courts to establish local rules specifying what a signature is.

A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

Check the appropriate box:

☐ I am the creditor.

☒ I am the creditor's attorney or authorized agent.

☐ I am the trustee, or the debtor, or their authorized agent. Bankruptcy Rule 3004.

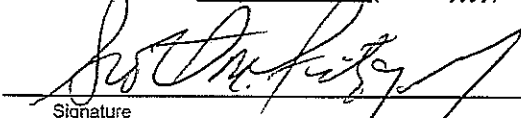
☐ I am a guarantor, surety, endorser, or other codebtor. Bankruptcy Rule 3005.

I understand that an authorized signature on this *Proof of Claim* serves as an acknowledgment that when calculating the amount of the claim, the creditor gave the debtor credit for any payments received toward the debt.

I have examined the information in this *Proof of Claim* and have a reasonable belief that the information is true and correct.

I declare under penalty of perjury that the foregoing is true and correct.

Executed on date 04/09/2019 (mm/dd/yyyy)



Signature

Print the name of the person who is completing and signing this claim:

Name of the person who is completing and signing this claim:

Name SCOTT M FITZGERALD

First name

Middle name

Last name

Title PRESIDENT

Company STEEL RIDGE ADVISORS

Identify the corporate servicer as the company if the authorized agent is a servicer.

Address 1377 MOTOR PKWY, SUITE 204

Number

Street

ISLANDIA

NY

11749

City

State

ZIP Code

Contact phone 631-353-0003

Email sfitzgerald@steelridgeadvisors.com

ENV# CEBGWBCPBBDQGPX BBBBD
ROYAL ALLIANCE ASSOCIATES INC.
10 EXCHANGE PLACE, SUITE 1410
JERSEY CITY, NJ 07302

MARIA MULLER
TOD NORBERT MULLER
17 WALLINGFORD DR
MELVILLE NY 11747



STATEMENT FOR THE PERIOD MARCH 1, 2019 TO MARCH 31, 2019

MARIA MULLER - Individual TOD
Account Number: RQ4-000811

YOUR FINANCIAL ADVISOR IS:

SCOTT FITZGERALD
RR#: AZP

For questions about your accounts:

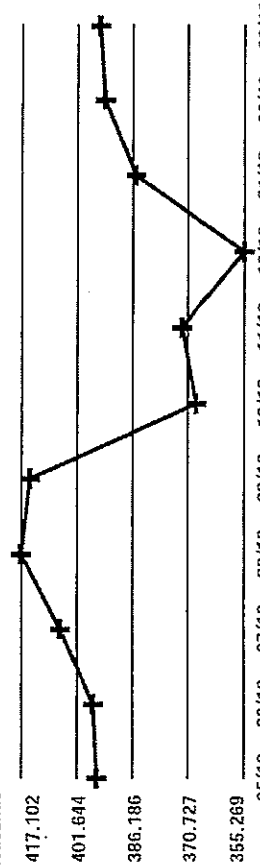
Local: 631 353 0003
In-State: 631 353 0003
National: 631 353 0003

TOTAL VALUE OF YOUR PORTFOLIO

\$395,535.80

CHANGE IN VALUE OF YOUR PORTFOLIO

\$ thousands



Change In Value Of Your Portfolio information can be found in Miscellaneous Footnotes at the end of this statement.

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEBGWBCPBBDQGPX BBBBD 20190529

Statement for the Period March 1, 2019 to March 31, 2019
MARIA MULLER - Individual TOD
Account Number: RQ4-000811

Account Overview

CHANGE IN ACCOUNT VALUE	Current Period	Year-to-Date
BEGINNING VALUE	\$394,075.73	\$355,269.91
Additions and Withdrawals	\$0.00	(\$1,869.74)
Income	\$641.10	\$1,051.69
Taxes, Fees and Expenses	\$0.00	(\$884.01)
Other Activity	\$0.00	\$15.60
Change in Value	\$818.97	\$41,952.35
ENDING VALUE (AS OF 03/31/19)	\$395,535.80	\$395,535.80
Total Accrued Interest	\$0.09	
Ending Value with Accrued Interest	\$395,535.89	

Refer to Miscellaneous Footnotes for more information on Change in Value.

INCOME	Current Period	Year-to-Date
TAXABLE		
Taxable Dividends	\$639.45	\$1,049.53
Taxable Interest	\$1.65	\$2.16
TOTAL TAXABLE	\$641.10	\$1,051.69
TOTAL INCOME	\$641.10	\$1,051.69

Taxable income is determined based on information available to NPS at the time the statement was prepared, and is subject to change. Final information on taxation of interest and dividends is available on Form 1099-Div, which is mailed in February of the subsequent year.

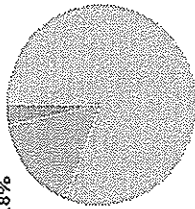
TAXES, FEES AND EXPENSES	Current Period	Year-to-Date
Account Fees	\$0.00	(\$884.01)
TOTAL TAXES, FEES AND EXPENSES	\$0.00	(\$884.01)

Royal Alliance Associates, Inc.
MN_CEBGWBCPBBDQGPX_BBBBD 20190329



ACCOUNT ALLOCATION

Bank Deposits 3.4%
Fixed Income 15.8%



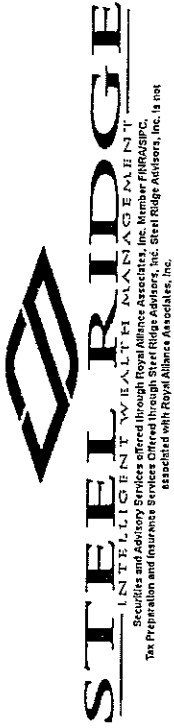
Equities 80.8%

	Percent	Prior Period	Current Period
Money Markets	0.0 %	\$13,576.83	\$0.00
Bank Deposits	3.4	\$0.00	\$13,585.94
Equities	80.8	\$316,543.92	\$319,328.04
Fixed Income	15.8	\$63,954.98	\$62,621.82
TOTAL	100.0 %	\$394,075.73	\$395,535.80

Account Allocation shows the percentage that each asset class represents of your total account value. Account Allocation for equities, fixed income, and other categories may include mutual funds and may be net of short positions. NPS has made assumptions concerning how certain mutual funds are allocated. Closed-end mutual funds and Exchange Traded Products (ETPs) listed on an exchange may be included in the equity allocation. The chart may not reflect your actual portfolio allocation. Consult your broker/dealer prior to making investment decisions.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
MARIA MULLER - Individual TOD
Account Number: RQ4-000811



Account Overview *continued*

MESSAGES AND ALERTS

DRS - Direct Registration System Transfer Agent Fee Effective May 1, 2014, three transfer agents, Computershare, Wells Fargo, and Registrar and Transfer Company are implementing a \$15 transfer fee for each position moved into your brokerage account via book entry Direct Registration System - DRS. If the fee is charged by the agent, NFS will pass through the charge to the account. As a reminder, there is already an existing fee charged to accounts for outgoing DRS transfers. Please contact your Financial Advisor if you have any questions regarding this fee.

Beginning in January 2019, National Financial Services will enhance the end-investor statement with the following changes. Payee details will be displayed within Activity Sections Description field for transactions that have associated Payee information. A summary level total of Short Dividends charged will be reported within the Account Overview section. Change in Value of Your Portfolio graph will show minimum and maximum scaling on the Y axis, include Negative values and, use clearer data points for information displayed.

National Financial Services LLC NFS is required by the Securities Exchange Act of 1934 to provide certain financial information from its Statement of Financial Condition. At December 31, 2018, NFS, an affiliate of Fidelity Brokerage Services LLC, had net capital of \$4,012 million, which was 13.67 percent of aggregate debit items and exceeded its minimum requirement by \$3,425 million. To acquire the Statement of Financial Condition, log on to www.mybrokerageinfo.com. If you wish to obtain a copy of this document at no cost, please call 800-439-5627.

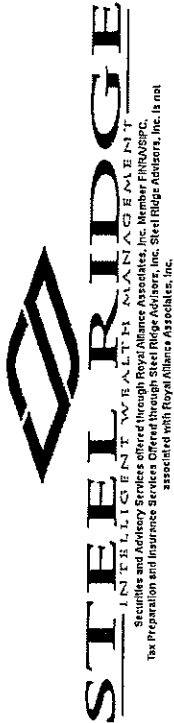
Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDQGPX_BBBBD 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019

MARIA MULLER - Individual TOD
Account Number: RQ4-000811



Holdings

NFS-provided cost basis, realized gain (loss) and holding period information may not reflect all adjustments necessary for tax purposes. Please refer to Footnotes and Cost Basis Information at the end of this statement for more information.

AI (Accrued Interest) - Represents interest accumulated since the last coupon date, but not yet paid by the issuer or received by NFS. There is no guarantee that AI will be paid by the issuer.

For additional information regarding your holdings, please refer to the footnotes at the end of the statement.

CASH AND CASH EQUIVALENTS - 3.43% of Total Account Value

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income
Bank Deposits					
Bank deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). Funds used to purchase or sweep to a bank deposit are SIPC protected until deposited to a Program Bank at which time funds may be eligible for FDIC insurance. Customers are responsible for monitoring their total deposits at each Program Bank to determine the extent of available FDIC insurance. Refer to the Bank Deposit Detail section which appears later in this statement for information on the banks holding your deposits. If your account was established on the last business day of this month, your statement will not include a Bank Deposit Detail section.					
ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED)	QAGCQ CASH	13,585.94	\$1.00	\$13,585.94	
Estimated Annual Yield 0.19%					
Total Cash and Cash Equivalents				\$13,585.94	

HOLDINGS > FIXED INCOME - 0.55% of Total Account Value

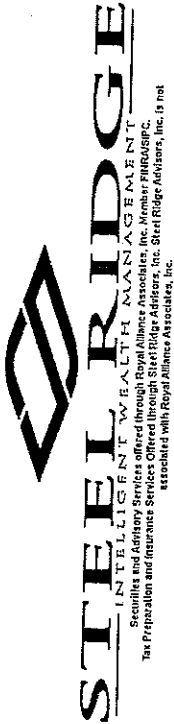
For an explanation of fixed income pricing, please see the last page. Redemption schedule(s), bond rating(s), and other information are provided where available. If information does not appear regarding a particular investment, it is not available. The ratings on this statement are provided by Standard & Poor's and/or Moody's to rate the quality based on the respective rating agency's assessment. Ratings information from Standard & Poor's ("S&P") may not be reproduced. S&P credit ratings are statements of opinion and are not statements of fact or recommendations to purchase, hold, or sell securities, nor do they address the suitability of securities for investment purposes, and should not be relied on as investment advice. S&P does not guarantee the accuracy, completeness, timeliness or availability of any information, including ratings, and is not responsible for errors or omissions (negligent or otherwise). S&P gives no express or implied warranties, including but not limited to any warranties of merchantability or fitness for a particular purpose or use. S&P shall not be liable for any direct, indirect, incidental, exemplary, compensatory, punitive, special or consequential damages, costs, expenses, legal fees, or losses (including lost income or profits and opportunity costs) in connection with any use of ratings.

Description	Symbol/Cusip Account Type	Quantity	Estimated Price on 03/31/19	Estimated Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
Asset Backed Securities							
GOVT NATL MTG ASSN II POOL #1578 9.00000% 03/20/2021 CPN PMT MONTHLY	36202BXF7 CASH	55,000	\$101.238	\$31.57	\$2.81	\$31.19 T	\$0.38

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
MARIA MULLER - Individual TOD
Account Number: RQ4-000811



HOLDINGS > FIXED INCOME *continued*

Description	Symbol/Cusip Account Type	Quantity	Estimated Price on 03/31/19	Estimated Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
GOVT NATL MTG ASSN II POOL #1578							
Next Interest Payable: 04/20/19							
Factor	0.00056886						
Current face	\$31						
Accrued Interest	\$0.09						
Average Unit Cost	\$0.06						
Corporate Bonds							
SEARS HLDGS CORP NOTE CALL MAKE WHOLE	812350AE6	18,000	\$12.00	\$2,160.00		\$17,341.00	
6.62500% 10/15/2018	CASH						
MOODY'S WR							
CPN PMT SEMI-ANNUAL							
ON OCT 15, APR 15							
CONTINUOUSLY CALLABLE							
IN MONETARY DEFAULT							
Average Unit Cost	\$96.34						
Adjusted Cost Basis							
Total Fixed Income		73,000		\$2,191.57	\$2.81	\$17,341.00	(\$15,181.00)

HOLDINGS > MUTUAL FUNDS - 90.74% of Total Account Value

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
Equity							
BLACKROCK MID CAP GROWTH EQUITY INSTL	CMGIX	1,498.046	\$26.82	\$40,177.59		\$41,109.79	(\$932.20)
Dividend Option Reinvest	CASH						
Capital Gain Option Reinvest							
Average Unit Cost	\$27.44						
FIDELITY ADVISOR GROWTH OPPTY CL I	FAGCX	499.933	\$86.18	\$43,084.23		\$40,446.08	\$2,638.15
Dividend Option Reinvest	CASH						
Capital Gain Option Reinvest							
Average Unit Cost	\$80.90						
FIDELITY ADVISOR HEALTH CARE CL I	FHCIX	357.294	\$52.64	\$18,807.96		\$18,827.25	(\$19.29)
Dividend Option Reinvest	CASH						
Capital Gain Option Reinvest							
Average Unit Cost	\$52.69						

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEBGWRCBBDDQGPX_BBBBD 20190329

Statement for the Period March 1, 2019 to March 31, 2019

MARIA MULLER - Individual TOD
Account Number: RQ4-000811



HOLDINGS > MUTUAL FUNDS *continued*

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
FIDELITY ADVISOR REAL ESTATE CL I							
Estimated Yield 2.22%	FHEIX	565.526	\$22.56	\$12,758.27	\$283.33	\$12,474.55	\$283.72
Dividend Option Reinvest	CASH						
Capital Gain Option Reinvest							
Average Unit Cost \$22.06							
GOLDMAN SACHS US EQU DIVIDEND & PREM FD I							
Estimated Yield 2.09%	GSPXX	2,138.124	\$12.69	\$27,132.79	\$568.53	\$29,292.81	(\$2,160.02)
Dividend Option Reinvest	CASH						
Capital Gain Option Reinvest							
Average Unit Cost \$13.79							
GOLDMAN SACHS ABSOLU RETURN TRACKER							
INSTL	GJRTX	2,895.682	\$9.57	\$27,711.68	\$290.15	\$28,417.67	(\$705.99)
Estimated Yield 1.04%	CASH						
Dividend Option Reinvest							
Capital Gain Option Reinvest							
Average Unit Cost \$9.81							
OPPENHEIMER GLOBAL OPPORTUNITIES CL Y							
Dividend Option Reinvest	OGIYX	876.401	\$58.96	\$51,672.60		\$60,494.31	(\$8,821.71)
Capital Gain Option Reinvest	CASH						
Average Unit Cost \$69.03							
T ROWE PRICE INSTL LARGE CAP GROWTH							
Estimated Yield 0.24%	TRLGX	967.107	\$40.94	\$39,593.36	\$96.71	\$42,153.65	(\$2,560.29)
Dividend Option Reinvest	CASH						
Capital Gain Option Reinvest							
Average Unit Cost \$43.59							
VANGUARD SMALL-CAP VALUE INDEX ADMIRAL							
Estimated Yield 2.09%	VSIAX	678.667	\$55.30	\$37,530.29	\$787.80	\$39,643.51	(\$2,113.22)
Dividend Option Reinvest	CASH						
Capital Gain Option Reinvest							
Average Unit Cost \$56.41							
Total Equity				\$298,468.77	\$2,026.52	\$312,859.62	(\$14,390.85)
Fixed Income							
FIDELITY ADVISOR STRATEGIC INC CL I							
Estimated Yield 3.37%	FSRIX	1,652.12	\$12.22	\$20,188.91	\$681.08	\$20,051.14	\$137.77
Dividend Option Reinvest	CASH						

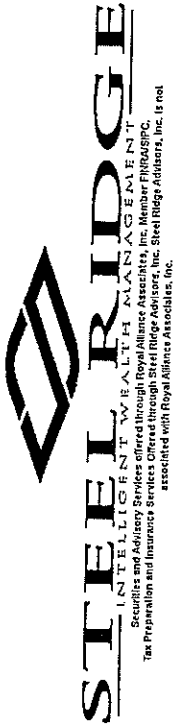
Royal Alliance Associates, Inc.

MN _CERGWBCPBBDQGPX_BBBBD 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019

MARIA MULLER - Individual TOD
Account Number: RQ4-000811



HOLDINGS > MUTUAL FUNDS *continued*

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
FIDELITY ADVISOR STRATEGIC INC CL I <i>continued</i>							
Capital Gain Option Reinvest	FSRX						
Average Unit Cost			\$12.14				
LOOMIS SAYLES STRATEGIC INC Y							
Estimated Yield	NEZYX	1,408.484	\$14.04	\$19,775.12	\$773.68	\$20,222.97	(\$447.85)
Dividend Option Reinvest	CASH						
Capital Gain Option Reinvest							
Average Unit Cost							
PIMCO INCOME FUND INSTITUTIONAL FUND							
Estimated Yield	PIMIX	1,705.518	\$12.00	\$20,466.22	\$1,135.88	\$20,269.81	\$196.41
Dividend Option Reinvest	CASH						
Capital Gain Option Reinvest							
Average Unit Cost							
Total Fixed Income				\$60,430.25	\$2,590.64	\$60,543.92	(\$113.67)
Total Mutual Funds				\$358,899.02	\$4,617.16	\$373,403.54	(\$14,504.52)

HOLDINGS > EXCHANGE TRADED PRODUCTS - 5.28% of Total Account Value

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income	Original/Adjusted Cost Basis	Unrealized Gain (Loss)
Equity							
VANGUARD WORLD FDS VANGUARD CONSUMER	VDC						
STAPLES ETF	CASH	143.649	\$145.21	\$20,859.27	\$554.43	\$19,208.91	\$1,650.36
Estimated Yield							
Dividend Option Reinvest							
Capital Gain Option Reinvest							
Average Unit Cost							
Total Exchange Traded Products				\$20,859.27	\$554.43	\$19,208.91	\$1,650.36
Total Securities				\$381,949.86	\$5,174.40	\$409,984.64	(\$28,034.78)
TOTAL PORTFOLIO VALUE				\$385,535.80	\$5,174.40	\$409,984.64	(\$28,034.78)

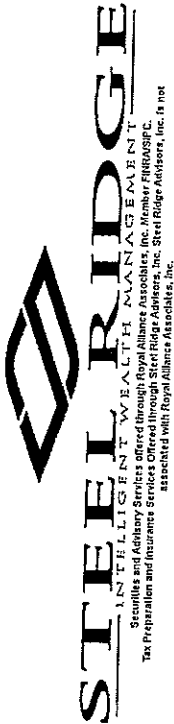
Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDQGPX_BBBD 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019

MARIA MULLER - Individual TOD
Account Number: RQ4-000811



Activity

NFS provided cost basis, realized gain (loss) and holding period information may not reflect all adjustments necessary for tax purposes. Please refer to Footnotes and Cost Basis Information at the end of this statement for more information.

PURCHASES, SALES, AND REDEMPTIONS

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
Securities Purchased					
02/28/19	CASH	REINVESTMENT	LOOMIS SAYLES STRATEGIC INC Y REINVEST @ \$13.9800	3.856	(\$53.94)
02/28/19	CASH	REINVESTMENT	PIMCO INCOME FUND INSTITUTIONAL FUND REINVESTED @ \$11.95	7.885	(\$94.22)
03/08/19	CASH	REINVESTMENT	FIDELITY ADVISOR REAL ESTATE CL I REINVEST @ \$21.880	0.439	(\$9.61)
03/26/19	CASH	REINVESTMENT	VANGUARD WORLD FDS VANGUARD CONSUMER STAPLES ETF REINVEST @ \$142.9424 TRADE DATE 03-25-19	0.747	(\$106.82)
03/27/19	CASH	REINVESTMENT	VANGUARD SMALL-CAP VALUE INDEX ADMIRAL REINVESTED @ \$54.75 AS OF 03/27/19	3.127	(\$171.18)
03/29/19	CASH	REINVESTMENT	FIDELITY ADVISOR STRATEGIC INC CL I REINVEST @ \$12.220	5.157	(\$63.02)
03/29/19	CASH	REINVESTMENT	GOLDMAN SACH US EQU DIVIDEND & PREM FD I REINVEST @ \$12.6300	10.646	(\$134.46)
Total Securities Purchased					(\$633.25)
Securities Sold					
03/11/19	CASH	YOU SOLD	FIDELITY GOVT MMKT CAPITAL RESERVES CL FZAXX TO QAGCQ	(13,576.83)	\$13,576.83
Total Securities Sold					\$13,576.83

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDQGPX_BBBBD 20190329

Account carried with National Financial Services L.L.C. Member NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019

MARIA MULLER - Individual TOD
Account Number: RQ4-000811



ACTIVITY > CORE FUND ACTIVITY

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
03/11/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) QAGCQ IS LIQUID	13,576.83	(\$13,576.83)
03/20/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) @ 1	1.5	(\$1.50)
03/29/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) @ 1	6.2	(\$6.20)
03/29/19	CASH	REINVESTMENT	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED) NET INT REINVEST	1.41	(\$1.41)
TOTAL CORE FUND ACTIVITY					(\$13,585.94)

ACTIVITY > MISCELLANEOUS & CORPORATE ACTIONS

This section includes miscellaneous and certain corporate action transactions such as mergers, acquisitions, currency conversions, shares delivered or received in-kind, with a zero dollar amount at the time the transaction occurred. It also includes Return of Principal transactions.

Date	Account Type	Transaction	Description	Quantity	Amount	Total Cost Basis	Realized Gain (Loss)
03/20/19	CASH	PRINCIPAL PAYMENT	GOVT NATL MTG ASSN II POOL #1578 9.000000% 03/20/2021		\$1.26	\$1.26T	\$0.00

ACTIVITY > INCOME > TAXABLE INCOME

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
Taxable Dividends					
02/28/19	CASH	DIVIDEND RECEIVED	LOOMIS SAYLES STRATEGIC INC Y		\$53.94
02/28/19	CASH	DIVIDEND RECEIVED	PIMCO INCOME FUND INSTITUTIONAL FUND		\$94.22

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDDQGPX_BBBBD 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
MARIA MULLER - Individual TOD
Account Number: RQ4-000811



ACTIVITY > INCOME > TAXABLE INCOME *continued*

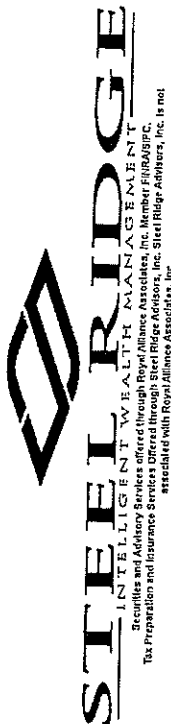
Settlement Date	Account Type	Transaction	Description	Quantity	Amount
03/08/19	CASH	DIVIDEND RECEIVED	FIDELITY ADVISOR REAL ESTATE CL		\$9.61
03/26/19	CASH	DIVIDEND RECEIVED	VANGUARD WORLD FDS VANGUARD CONSUMER STAPLES ETF		\$106.82
03/27/19	CASH	DIVIDEND RECEIVED	VANGUARD SMALL-CAP VALUE INDEX ADMIRAL		\$171.18
03/29/19	CASH	DIVIDEND RECEIVED	FIDELITY ADVISOR STRATEGIC INC CL I DIVIDEND RECEIVED		\$63.02
03/29/19	CASH	DIVIDEND RECEIVED	FIDELITY GOVT MMKT CAPITAL RESERVES CL DIVIDEND RECEIVED		\$6.20
03/29/19	CASH	DIVIDEND RECEIVED	GOLDMAN SACH US EQU DIVIDEND & PREM FD I		\$134.46
Total Taxable Dividends					\$639.45
Taxable Interest					
03/20/19	CASH	INTEREST	GOVT NATL MTG ASSN II POOL #1578 9.000000% 03/20/2021		\$0.24
03/29/19	CASH	INTEREST RECEIVED	ADVISOR GROUP INS DEPOSIT PROGRAM (CONSUMER-TIERED)		\$1.41
Total Taxable Interest					\$1.65
Total Taxable Income					\$641.10
TOTAL INCOME					\$641.10

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDQGPX_BBBD 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
MARIA MULLER - Individual TOD
Account Number: RQ4-000811



ACTIVITY >BANK DEPOSIT DETAIL

Bank deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). Customers are responsible for monitoring their total deposits at each Program Bank to determine the extent of available FDIC insurance. Your Ending Balance at each Program Bank as of the end of this statement period is shown below. If you participate in a Bank Deposit Sweep Program and also hold a Bank Deposit Direct Investment, the Bank Deposit Detail section lists banks and ending balances for both programs. Funds pending settlement reflect deposits to (credit) or withdrawals from (debit) a Program Bank. Subject to the terms of the applicable bank deposit disclosure, customers are reminded that funds are deposited to a Program Bank on the business day following the date that funds are credited to your account and until swept to a Program Bank, funds are covered by SIPC.

Bank	Beginning Balance	Ending Balance
Capital One Bank	\$0.00	\$13,579.74
Current Month's Pending Settlement		\$6.20
Total Bank Deposits	\$0.00	\$13,585.94

Footnotes and Cost Basis Information

Amortization, accretion and similar adjustments to cost basis have been provided for many fixed income securities (and some bond-like equities), however, they are not provided for certain types, such as short-term instruments, Unit Investment Trusts, foreign fixed income securities, or those that are subject to early prepayment of principal (pay downs). Where current year premium or acquisition premium amortization is provided, the prior years' cumulative amortization is reflected in the adjusted cost basis, but we cannot provide a breakdown or the total of such prior amortization amounts.

NFS is required to report certain cost basis and related information to the IRS on the Form 1099-B. Your official 1099-B forms for certain transactions will reflect which lots have been sold for tax purposes. To apply a specific identification cost basis method to 1099-B reporting, appropriate instructions must be on file with NFS or be received by NFS before the trade has settled. Absent such instructions, NFS determines cost basis at the time of sale based on its default methods of average cost for open-end mutual funds and first-in, first-out (FIFO) for all other (including ETFs) unless your broker dealer has elected to use another default method. NFS applies FIFO for other disposal method, if applicable based on its records, which may be different from yours. For transactions that are not subject to 1099-B cost basis reporting, you should refer to your trade confirmations and other applicable records to determine which lots were considered sold for tax purposes.

While NFS must meet IRS requirements with respect to certain information required to be reported to the IRS, NFS-provided cost basis, realized gain and loss, and holding period information may not reflect all adjustments necessary for your tax reporting purposes. NFS makes no warranties with respect to and specifically disclaims any liability arising out of a customer's use of, or any tax position taken in reliance upon, such information.

For investments in partnerships, NFS does not make any adjustments to cost basis information as the calculation of basis in such investments requires supplemental information from the partnership on its income and distributions during the period you held your investment. Partnerships usually provide this additional information on a Form K-1 issued by April 15th of the following year.

Consult your tax advisor for further information.

T - Cost basis information was provided by a third party. We treat it as original cost basis, as of the date it is provided, and we assume that for equities, it reflects any prior corporate actions, and for asset-backed fixed income securities, it reflects any prior principal pay downs. D - Adjusted cost basis reflects any cumulative original issue discount, premium, or acquisition premium, and it assumes such amounts were amortized by the taxpayer over the life of the security from acquisition date through disposition date. For securities still held, maturity date was used instead of disposition date. Premium amortization was calculated using the yield-to-maturity method. Acquisition premium was calculated using the ratable accrual method. If applicable, adjusted cost basis reflects market discount accretion which was calculated using the straight-line method and was recognized at disposition date. Gain/loss displayed for this transaction was based on cost basis as adjusted for premium and discount as stated above and does not reflect any losses disallowed because of wash sales (if applicable). The adjusted cost basis may not reflect all adjustments necessary for tax reporting purposes and may also not apply if you are using an alternative amortization calculation method. Refer to IRS Publication 550, Investment Income and Expenses, for additional information.

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDQGPX_BBBD 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019

MARIA MULLER - Individual TOD
Account Number: RQ4-000811



Footnotes and Cost Basis Information *continued*

If a sale, redemption or other disposition involved multiple tax lots, the transaction's totals may have been calculated using a combination of adjusted and unadjusted cost basis information. For lots where adjusted cost basis and its associated gain/loss are known, that was used, otherwise "regular" unadjusted cost basis and its associated gain/loss was used.

Miscellaneous Footnotes

CHANGE IN VALUE OF YOUR PORTFOLIO is the change in market value of your portfolio assets over the time period shown. The portfolio assets include the market value of all the securities in the account, plus insurance and annuity assets if applicable. The time frame of the graph is from account opening or September 2011, whichever is later, to the current period. Please note that large increases and/or declines in the value of the portfolio can be due to additions, distribution and/or performance.

CHANGE IN VALUE reflects appreciation or depreciation of your holdings due to price changes plus any activity not reflected within Additions and Withdrawals, Income, Taxes, Fees and Expenses, and Other Activity sections. Change in Value does not reflect activity related to assets in which NFS is not the custodian (e.g. Insurance and Annuities, Assets Held Away and Other Assets Held Away).

CALLABLE SECURITIES LOTTERY - When street name or bearer securities held for you are subject to a partial call or partial redemption by the issuer, NFS may or may not receive an allocation of called/redeemed securities by the issuer, transfer agent and/or depository. If NFS is allocated a portion of the called/redeemed securities, NFS utilizes an impartial lottery allocation system, in accordance with applicable rules, that randomly selects the securities within customer accounts that will be called/redeemed. NFS' allocations are not made on a pro rata basis and it is possible for you to receive a full or partial allocation, or no allocation. You have the right to withdraw uncalled fully paid securities at any time prior to the cutoff date and time established by the issuer, transfer agent and/or depository with respect to the partial call, and also to withdraw excess margin securities provided your account is not subject to restriction under Regulation T or such withdrawal will not cause an undermargined condition.

PRICING INFORMATION - Prices displayed are obtained from sources that may include pricing vendors, broker/dealers who clear through NFS and/or other sources. Prices may not reflect current fair market value and/or may not be readily marketable or redeemable at the prices shown.

FOREIGN EXCHANGE TRANSACTIONS - Some transaction types necessitate a foreign currency exchange (FX) in order to settle. FX transactions may be effected by Fidelity Forex, Inc. on a principal basis. Fidelity Forex, Inc., an affiliate of NFS, may impose a commission or markup on the prevailing interbank market price, which may result in a higher price to you. Fidelity Forex, Inc. may share a portion of any FX commission or markup with NFS. More favorable rates may be available through third parties not affiliated with NFS. The rate applicable to any transaction involving an FX is available upon request through your broker-dealer.

COST BASIS LEGISLATION - New IRS Rules will require National Financial Services to report cost basis and holding period information for the sale of shares of open end Mutual Fund holdings purchased on or after January 1, 2012 on Form 1099-B. National Financial Services determines the cost basis for all shares of open end mutual funds using a default method of average cost. Alternatively, account owners or their brokers and advisors can instruct National Financial Services to determine the cost basis for shares of open end mutual funds by 1) setting up their non-retirement accounts with one of our eleven tax lot disposal methods available to investors or 2) identifying specific tax lots to sell at the time of a transaction. Contact your broker or advisor to learn more about the cost basis tracking of your holdings.

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN _CEBGWBCPBBDQGPX_BBBBD 20190329

GLOSSARY Short Account Balances-If you have sold securities under the short sale rule, we have, in accordance with regulations, segregated the proceeds from such transactions in your Short Account. Any market increases or decreases from the original sale price will be marked to the market and will be transferred to your Margin Account on a weekly basis. **Market Value** - The Total Market Value has been calculated out to 9 decimal places; however, the individual unit price is displayed in 5 decimal places. The Total Market Value represents prices obtained from various sources, may be impacted by the frequency in which such prices are reported and such prices are not guaranteed. Prices received from pricing vendors are generally based on current market quotes, but when such quotes are not available the pricing vendors use a variety of techniques to estimate value. These estimates, particularly for **fixed income securities**, may be based on certain minimum principal amounts (e.g. \$1 million) and may not reflect all of the factors that affect the value of the security, including liquidity risk. The prices provided are not firm bids or offers. Certain securities may reflect "N/A" or "unavailable" where the price for such security is generally not available from a pricing source. The Market Value of a security, including those priced at par value, may differ from its purchase price and may not

CUSTOMER SERVICE: Please review your statement and report any inaccuracy or discrepancy immediately by calling the telephone number of your broker-dealer reflected on the front of this statement. Reports of any inaccuracy or discrepancy regarding your brokerage account or the activity therein should be directed to your broker-dealer at the telephone number and address reflected on the front of this statement and National Financial Services LLC ("NFS").

NFS carries your brokerage account and acts as your custodian for funds and securities that are deposited with NFS by you or your broker-dealer. In addition to your initial contact with your broker-dealer you may contact NFS at (800) 801-9942. Any oral communications regarding inaccuracies or discrepancies should be reconfirmed in writing to protect your rights, including those under the Securities Investor Protection Act ("SIPA"). When contacting either your broker-dealer or NFS, remember to include your entire brokerage account number to ensure a prompt reply.

ADDITIONAL INFORMATION Free credit balances ("FCB") are funds payable to you on demand. FCB are subject to open commitments such as uncleared checks and exclude proceeds from sales of certificated securities without delivery of the certificate. If your FCB is swept to a core position, you can liquidate the core position and have the proceeds sent to you or held in your account subject to the terms of your account agreement. Required rule 10b-10(a) information not contained herein will be provided on written request. Fidelity may use this free credit balance in connection with its business, subject to applicable law.

Credit Adjustment Program. Accountholders receiving payments in lieu of qualified dividends may not be eligible to receive credit adjustments intended to help cover additional associated federal tax burdens. NFS reserves the right to deny the adjustment to any account holder and to amend or terminate the credit adjustment program.

Options Customers. Each transaction confirmation previously delivered to you contains full information about commissions and other charges. If you require further information, please contact your broker-dealer.

Assignments of American and European-style options are allocated among customer short positions pursuant to a random allocation procedure, a description of which is available upon request. Short positions in American-style options are liable for assignment at any time. The writer of a European-style option is subject to exercise assignment only during the exercise period. You should advise your broker-dealer promptly of any material change in your investment objectives or financial situation. **Splits, Dividends, and Interest.** Expected stock split, next dividend payable, and next interest payable information has been provided by third parties and may be subject to change. Information for certain securities may be missing if not received from third parties in time for printing. NFS is not responsible for inaccurate, incomplete, or missing information. Please consult your broker-dealer for more information about expected stock split, next dividend payable, and next interest payable for certain securities.

Equity Dividend Reinvestment Customers. Shares credited to your brokerage account resulted from transactions effected as agent by either: (1) Your broker-dealer for your investment account, or (2) through the Depository Trust Company (DTC) dividend reinvestment program. For broker-dealer effected transactions, the time of the transactions, the exchange upon which these transactions occurred and the name of the person from whom the security was purchased will be furnished upon written request. NFS may have acted as market maker in effecting trades in "over-the-counter" securities.

Retirement Contributions/Distributions. A summary of retirement contributions/distributions is displayed for you in the activity summary section of your statement. **Income Reporting.** NFS reports earnings from investments in Traditional IRAs, Rollover IRAs, SEP-IRAs and, Keoghs as tax-deferred income. Earnings from Roth IRAs are reported as tax-free income, since distributions may be tax-free after meeting the 5 year aging requirement and certain other conditions. A financial statement of NFS is available for your personal inspection at its office or a copy of it will be mailed to you upon your written request.

Statement Mailing. NFS will deliver statements by mail or, if applicable, notify you by e-mail of your statement's availability, if you had transactions that affected your cash balances or security positions held in your account(s) during the last monthly reporting period. At a minimum, all brokerage customers will receive quarterly statements (at least four times per calendar year) as long as their accounts contain a cash or securities balance.

Loads and Fees. In connection with (i) access to, purchase or redemption of, and/or maintenance of positions in mutual funds and other investment products ("funds") or (ii) infrastructure needed to support such funds, some funds, or their investment affiliates, pay you introducing broker dealer and/or NFS sales loads and 12b-1 fees

Royal Alliance Associates, Inc.

MN _CEBGWBCPBBDQGPX_BBBD 20190329

closely reflect the value at which the security may be sold or purchased based on various market factors. Investment decisions should be made only after consulting your broker-dealer.

Estimated Annual Income (EAI) & Estimated Yield (EY) - EAI for fixed income is calculated using the coupon rate. For all other securities, EAI is calculated using an indicated annual dividend (IAD). The IAD is an estimate of a security's dividend payments for the next 12 months calculated based on prior and/or declared dividends for that security. EY reflects only the income generated by an investment and not changes in its price which may fluctuate. Interest and dividend rates are subject to change at any time and may be affected by current and future economic, political and business conditions. EAI and EY are estimates only and may include return of principal and/or capital gains, which would render them overstated. EAI and EY are provided for informational purposes only and should not be used or relied on for making investment, trading or tax decisions. EAI and EY are based on data obtained from information providers believed to be reliable, but no assurance can be made as to accuracy, timeliness or completeness.

described in the prospectus as well as additional compensation for shareholder services, start-up fees, infrastructure support and maintenance, and other programs. Additional information about the source(s) and amount(s) of compensation as well as other remuneration received by your introducing broker dealer and/or NFS will be furnished to you upon written request. At time of purchase fund shares may be assigned a load, transaction fee or no transaction fee status. At time of sale, any fees applicable to your transaction will be assessed based on the status assigned to the shares at time of purchase. **Margin.** If you have applied for margin privileges and been approved, you may borrow money from NFS in exchange for pledging the assets in your account as collateral for any outstanding margin loan. The amount you may borrow is based on the value of securities in your margin account, which is identified on your statement. If you have a margin account, this is a combined statement of your margin account and special memorandum account other than your non-purpose margin accounts maintained for you under Section 220.5 of Regulation T issued by the Board of Governors of the Federal Reserve Board. The permanent record of the separate account, as required by Regulation T, is available for your inspection upon request. **NYSE and FINRA.** All transactions are subject to the constitution, rules, regulations, customs, usages, rulings and interpretations of the exchange market and its clearing house, if any, where the transactions are executed, and of the New York Stock Exchange (NYSE) and of the Financial Industry Regulatory Authority ("FINRA"). The FINRA requires that we notify you in writing of the availability of an investor brochure that includes information describing FINRA Regulation's BrokerCheck Program ("Program"). To obtain a brochure or more information about the Program or FINRA Regulation, contact the FINRA Regulation BrokerCheck Program Hotline at (800) 289-9999 or access the FINRA's web site at www.fina.org. **FINRA Rule 4311** requires that your broker-dealer and NFS allocate between them certain functions regarding the administration of your brokerage account. The following is a summary of the allocation services performed by your broker-dealer and NFS. A more complete description is available upon request. **Your broker-dealer is responsible for:** (1) obtaining and verifying brokerage account information and documentation, (2) opening, approving and monitoring your brokerage account, (3) transmitting timely and accurate orders and other instructions to NFS with respect to your brokerage account, (4) determining the suitability of investment recommendations and advice, (5) operating, and supervising your brokerage account and its own activities in compliance with applicable laws and regulations including compliance with margin rules pertaining to your margin account, if applicable, and (6) maintaining required books and records for the services that it performs. **NFS shall, at the direction of your broker-dealer:** (1) execute, clear and settle transactions processed through NFS by your broker-dealer, (2) prepare and send transaction confirmations and periodic statements of your brokerage account (unless your broker-dealer has undertaken to do so). Certain securities pricing and descriptive information may be provided by your broker-dealer or obtained from third parties deemed to be reliable, however, this information has not been verified by NFS, (3) act as custodian for funds and securities received by NFS on your behalf, (4) follow the instructions of your broker-dealer with respect to transactions and the receipt and delivery of funds and securities for your brokerage account, and (5) extend margin credit for purchasing or carrying securities on margin. Your broker-dealer is responsible for ensuring that your brokerage account is in compliance with federal, industry and NFS margin rules, and for advising you of margin requirements. NFS shall maintain the required books and records for the services it performs. **Securities in accounts carried by NFS are protected in accordance with the Securities Investor Protection Corporation ("SIPC") up to \$500,000.** The \$500,000 total amount of SIPC protection is inclusive of up to \$250,000 protection for claims for cash, subject to periodic adjustments for inflation in accordance with terms of the SIPC statute and approval by SIPC's Board of Directors. NFS also has arranged for coverage above these limits. Neither coverage protects against a decline in the market value of securities, nor does either coverage extend to certain securities that are considered ineligible for coverage. For more details on SIPC, or to request a SIPC brochure, visit www.sipc.org or call 1-202-371-8300. Funds used to purchase or sweep to a bank deposit are SIPC protected until deposited to a Program Bank at which time funds may be eligible for FDIC insurance. Assets Held Away, commodities, unregistered investment contracts, futures accounts, loaned securities and other investments may not be covered. Precious metals are not covered by SIPC protection. Mutual funds and/or other securities are not backed or guaranteed by any bank, nor are they insured by the FDIC and involve investment risk including possible loss of principal.

End of Statement

722239.7.0

Account carried with National Financial Services LLC, Member
NYSE, SIPC

This page is left intentionally blank

Contact 844.384.4460 Client Login



Sears Holdings Corporation (18-23538)

[CHANGE CASE](#)

[Case Info](#) [Docket](#) [Claims](#) [Submit a Claim](#) [Submit Inquiry](#)

[Search Docket](#) [Search Claim](#)

Schedule	Claim #	Filed Date	Creditor Name	Debtor Name	Claim Value
	17342	04/10/2019	Muller, Maria	Sears Holdings Corporation	\$ 32,000.00

Creditor Data Details for Claim # 17342

Creditor
Muller, Maria

Date Filed
04/10/2019

Debtor Name
Sears Holdings Corporation
Schedule Number

Claim Number
17342

Proof of Claim
[View PDF](#) [Email PDF](#)

Select scope

Claim Number(s)(e.g. 1,3,5-7)

Schedule Number

Creditor name

Debtor(s)

Select Classification

Select Search Operator

Amount

Date from

Date to

-

[Search Claim](#)

[Reset](#)

	Schedule Amount CUD*	Asserted Claim Amount CUF*	Current Claim Status Claim Value
General Unsecured			
Priority			
Secured		\$32,000.00	\$32,000.00 Asserted
503(b)(9) Admin Priority			
Admin Priority			
Total	\$0.00	\$32,000.00	\$32,000.00

*C=Contingent, U=Unliquidated, D=Disputed, F=Foreign

Prime Clerk maintains this website for the public's convenience and for general informational purposes only. Anyone using this website is cautioned NOT to rely on any information contained on this Website, and any user of this website should not take or refrain from taking any action based upon anything included or not included on this website. We are not a law firm or a substitute for

[Open in new window](#)

Page 1 of 1

20

View 1 of 1

[Home](#) [Leadership](#) [Disclaimer](#) [Terms & Conditions](#)

©2016 Prime Clerk. All rights reserved.

Contact 844.384.4460 Client Login



Sears Holdings Corporation (18-23538)

[CHANGE CASE](#)

[Case Info](#) [Docket](#) [Claims](#) [Submit a Claim](#) [Submit Inquiry](#)

[Search Docket](#) [Search Claim](#)

Schedule	Claim #	Filed Date	Creditor Name	Debtor Name	Claim Value
	17342*	04/10/2019	Mulier, Maria	Sears Holdings Corporation	\$ 32,000.00

Creditor Data Details for Claim # 17342

Creditor
Mulier, Maria

Date Filed
04/10/2019

Debtor Name
Sears Holdings Corporation
Schedule Number

Claim Number
17342

Proof of Claim
[View PDF](#) [Email PDF](#)

Select scope

Claim Number(s)(e.g. 1,3,5-7)

Schedule Number

Creditor name

Debtor(s)

Select Classification

Select Search Operator

Amount

Date from

Date to

-

[Search Claim](#)

[Reset](#)

Schedule Amount CUD*	Asserted Claim Amount CUF*	Current Claim Status	Claim Value
General Unsecured	\$32,000.00	Asserted	\$32,000.00
Priority			
Secured			
503(b)(9) Admin Priority			
Admin Priority			
Total	\$0.00		\$32,000.00

*C=Contingent, U=Unliquidated, D=Disputed, F=Foreign

Prime Clerk maintains this website for the public's convenience and for general informational purposes only. Anyone using this website is cautioned NOT to rely on any information contained on this Website, and any user of this website should not take or refrain from taking any action based upon anything included or not included on this website. We are not a law firm or a substitute for

[Open in new window](#)

Page 1 of 1

20

View 1 - 1 of 1

[Home](#) [Leadership](#) [Disclaimer](#) [Terms & Conditions](#)

©2016 Prime Clerk. All rights reserved.

Fill in this information to identify the case (Select only one Debtor per claim form):				
<input checked="" type="checkbox"/> Sears Holdings Corporation (18-23538)	<input type="checkbox"/> Kmart Corporation (18-23549)	<input type="checkbox"/> Sears, Roebuck de Puerto Rico, Inc. (18-23561)	<input type="checkbox"/> MyGofer LLC (18-23573)	<input type="checkbox"/> Kmart.com LLC (18-23585)
<input type="checkbox"/> Sears, Roebuck and Co. (18-23537)	<input type="checkbox"/> MaxServ, Inc. (18-23550)	<input type="checkbox"/> SYW Relay LLC (18-23562)	<input type="checkbox"/> Sears Brands Business Unit Corporation (18-23574)	<input type="checkbox"/> Sears Brands Management Corporation (18-23586)
<input type="checkbox"/> Kmart Holding Corporation (18-23539)	<input type="checkbox"/> Private Brands, Ltd. (18-23551)	<input type="checkbox"/> Wally Labs LLC (18-23563)	<input type="checkbox"/> Sears Holdings Publishing Company, LLC (18-23575)	<input type="checkbox"/> SHC Licensed Business LLC (18-23616)
<input type="checkbox"/> Kmart Operations LLC (18-23540)	<input type="checkbox"/> Sears Development Co. (18-23552)	<input type="checkbox"/> Big Beaver of Florida Development, LLC (18-23564)	<input type="checkbox"/> Kmart of Michigan, Inc. (18-23576)	<input type="checkbox"/> SHC Promotions LLC (18-23630)
<input type="checkbox"/> Sears Operations LLC (18-23541)	<input type="checkbox"/> Sears Holdings Management Corporation (18-23553)	<input type="checkbox"/> California Builder Appliances, Inc. (18-23565)	<input type="checkbox"/> SHC Desert Springs, LLC (18-23577)	<input type="checkbox"/> SRe Holding Corporation (19-22301)
<input type="checkbox"/> ServiceLive, Inc. (18-23542)	<input type="checkbox"/> Sears Home & Business Franchises, Inc. (18-23554)	<input type="checkbox"/> Florida Builder Appliances, Inc. (18-23566)	<input type="checkbox"/> SOE, Inc. (18-23578)	
<input type="checkbox"/> A&E Factory Service, LLC (18-23543)	<input type="checkbox"/> Sears Home Improvement Products, Inc. (18-23555)	<input type="checkbox"/> KBL Holding Inc. (18-23567)	<input type="checkbox"/> StarWest, LLC (18-23579)	
<input type="checkbox"/> A&E Home Delivery, LLC (18-23544)	<input type="checkbox"/> Sears Insurance Services, L.L.C. (18-23556)	<input type="checkbox"/> KLC, Inc. (18-23568)	<input type="checkbox"/> STI Merchandising, Inc. (18-23580)	
<input type="checkbox"/> A&E Lawn & Garden, LLC (18-23545)	<input type="checkbox"/> Sears Procurement Services, Inc. (18-23557)	<input type="checkbox"/> Sears Protection Company (Florida), L.L.C. (18-23569)	<input type="checkbox"/> Troy Coolidge No. 13, LLC (18-23581)	
<input type="checkbox"/> A&E Signature Service, LLC (18-23546)	<input type="checkbox"/> Sears Protection Company (18-23558)	<input type="checkbox"/> Kmart of Washington LLC (18-23570)	<input type="checkbox"/> BlueLight.com, Inc. (18-23582)	
<input type="checkbox"/> FBA Holdings Inc. (18-23547)	<input type="checkbox"/> Sears Protection Company (PR) Inc. (18-23559)	<input type="checkbox"/> Kmart Stores of Illinois LLC (18-23571)	<input type="checkbox"/> Sears Brands, L.L.C. (18-23583)	
<input type="checkbox"/> Innovel Solutions, Inc. (18-23548)	<input type="checkbox"/> Sears Roebuck Acceptance Corp. (18-23560)	<input type="checkbox"/> Kmart Stores of Texas LLC (18-23572)	<input type="checkbox"/> Sears Buying Services, Inc. (18-23584)	

Proof of Claim

04/16

Read the instructions before filling out this form. This form is for making a claim for payment in a bankruptcy case. Do not use this form to make a request for payment of an administrative expense, other than a claim entitled to administrative priority pursuant to 11 U.S.C. § 503(b)(9). Make such a request according to 11 U.S.C. § 503.

Filers must leave out or redact information that is entitled to privacy on this form or on any attached documents. Attach redacted copies of any documents that support the claim, such as promissory notes, purchase orders, invoices, itemized statements of running accounts, contracts, judgments, mortgages, and security agreements. Do not send original documents; they may be destroyed after scanning. If the documents are not available, explain in an attachment.

A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

Fill in all the information about the claim as of the date the case was filed. That date is on the notice of bankruptcy (Form 309) that you received.

Part 1: Identify the Claim

1. Who is the current creditor?	MARIA MULLER Name of the current creditor (the person or entity to be paid for this claim) Other names the creditor used with the debtor _____	
2. Has this claim been acquired from someone else?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. From whom? _____	
3. Where should notices and payments to the creditor be sent? Federal Rule of Bankruptcy Procedure (FRBP) 2002(g)	Where should notices to the creditor be sent? 17 WALLINGFORD DR MELVILLE, NY 11747 Contact phone 631-549-1735 Contact email _____	Where should payments to the creditor be sent? (if different) NATIONAL FINANCIAL SERVICES C/O ROYAL ALLIANCE 10 EXCHANGE PLAZA SUITE 1410 JERSEY CITY, NJ 07302 RQ4-000810 Contact phone 631-353-0003 Contact email sflitzgerald@steelridgeadvisors.com
4. Does this claim amend one already filed?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. Claim number on court claims registry (if known) _____ Filed on MM / DD / YYYY	
5. Do you know if anyone else has filed a proof of claim for this claim?	<input checked="" type="checkbox"/> No <input type="checkbox"/> Yes. Who made the earlier filing? _____	

Part 2: Give Information About the Claim as of the Date the Case Was Filed

6. Do you have any number you use to identify the debtor? ☐ No ☒ Yes. Last 4 digits of the debtor's account or any number you use to identify the debtor: 9 3 5 6

7. How much is the claim? \$ 32,000.00 Does this amount include interest or other charges?
☒ No
☐ Yes. Attach statement itemizing interest, fees, expenses, or other charges required by Bankruptcy Rule 3001(c)(2)(A).

8. What is the basis of the claim? Examples: Goods sold, money loaned, lease, services performed, personal injury or wrongful death, or creditcard.
Attach redacted copies of any documents supporting the claim required by Bankruptcy Rule 3001(c).
Limit disclosing information that is entitled to privacy, such as health care information.

9. Is all or part of the claim secured? ☐ No ☒ Yes. The claim is secured by a lien on property.
Nature of property:
☐ Real estate. If the claim is secured by the debtor's principal residence, file a *Mortgage Proof of Claim Attachment* (Official Form 410-A) with this *Proof of Claim*.
☐ Motor vehicle
☒ Other. Describe: SEARS HLDGS CORP. 6 5/8% SENIOR SECURED NOTE Dee
10/15/18
Basis for perfection: _____
Attach redacted copies of documents, if any, that show evidence of perfection of a security interest (for example, a mortgage, lien, certificate of title, financing statement, or other document that shows the lien has been filed or recorded.)
Value of property: \$ _____
Amount of the claim that is secured: \$ _____
Amount of the claim that is unsecured: \$ _____ (The sum of the secured and unsecured amounts should match the amount in line 7.)
Amount necessary to cure any default as of the date of the petition: \$ _____
Annual Interest Rate (when case was filed) _____ %
☐ Fixed
☐ Variable

10. Is this claim based on a lease? ☒ No ☐ Yes. Amount necessary to cure any default as of the date of the petition. \$ _____

11. Is this claim subject to a right of setoff? ☒ No ☐ Yes. Identify the property: _____

12. Is all or part of the claim entitled to priority under 11 U.S.C. § 507(a)? ☒ No
☐ Yes. Check one:

A claim may be partly priority and partly nonpriority. For example, in some categories, the law limits the amount entitled to priority.

☐ Domestic support obligations (including alimony and child support) under 11 U.S.C. § 507(a)(1)(A) or (a)(1)(B). Amount entitled to priority \$ _____

☐ Up to \$2,850* of deposits toward purchase, lease, or rental of property or services for personal, family, or household use. 11 U.S.C. § 507(a)(7). \$ _____

☐ Wages, salaries, or commissions (up to \$12,850*) earned within 180 days before the bankruptcy petition is filed or the debtor's business ends, whichever is earlier. 11 U.S.C. § 507(a)(4). \$ _____

☐ Taxes or penalties owed to governmental units. 11 U.S.C. § 507(a)(8). \$ _____

☐ Contributions to an employee benefit plan. 11 U.S.C. § 507(a)(5). \$ _____

☐ Other. Specify subsection of 11 U.S.C. § 507(a)() that applies. \$ _____

* Amounts are subject to adjustment on 4/01/19 and every 3 years after that for cases begun on or after the date of adjustment.

13. Is all or part of the claim entitled to administrative priority pursuant to 11 U.S.C. § 503(b)(9)? ☒ No
☐ Yes. Indicate the amount of your claim arising from the value of any goods received by the Debtor within 20 days before the date of commencement of the above case, in which the goods have been sold to the Debtor in the ordinary course of such Debtor's business. Attach documentation supporting such claim. \$ _____

Part 3: Sign Below

The person completing this proof of claim must sign and date it. FRBP 9011(b).

If you file this claim electronically, FRBP 5005(a)(2) authorizes courts to establish local rules specifying what a signature is.

A person who files a fraudulent claim could be fined up to \$500,000, imprisoned for up to 5 years, or both. 18 U.S.C. §§ 152, 157, and 3571.

Check the appropriate box:

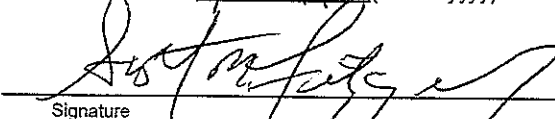
- ☐ I am the creditor.
☒ I am the creditor's attorney or authorized agent.
☐ I am the trustee, or the debtor, or their authorized agent. Bankruptcy Rule 3004.
☐ I am a guarantor, surety, endorser, or other codebtor. Bankruptcy Rule 3005.

I understand that an authorized signature on this *Proof of Claim* serves as an acknowledgment that when calculating the amount of the claim, the creditor gave the debtor credit for any payments received toward the debt.

I have examined the information in this *Proof of Claim* and have a reasonable belief that the information is true and correct.

I declare under penalty of perjury that the foregoing is true and correct.

Executed on date 04/09/2019 (mm/dd/yyyy)


Signature

Print the name of the person who is completing and signing this claim:

Name of the person who is completing and signing this claim:

Name SCOTT M FITZGERALD
First name Middle name Last name

Title PRESIDENT

Company STEEL RIDGE ADVISORS
Identify the corporate servicer as the company if the authorized agent is a servicer.

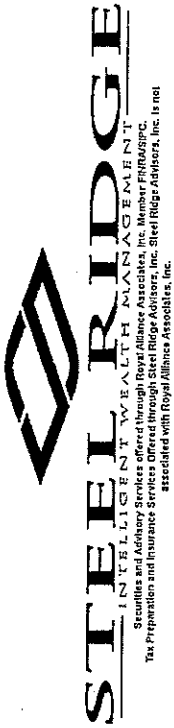
Address 1377 MOTOR PKWY, SUITE 204
Number Street

ISLANDIA NY 11749
City State ZIP Code

Contact phone 631-353-0003 Email sfitzgerald@steelridgeadvisors.com

ENV# CEBGWBCPBDDQGPX BBBBC
ROYAL ALLIANCE ASSOCIATES INC.
10 EXCHANGE PLACE, SUITE 1410
JERSEY CITY, NJ 07302

NFS/FWTC IRA
FBO MARIA MULLER
17 WALLINGFORD DR
MELVILLE NY 11747



STATEMENT FOR THE PERIOD MARCH 1, 2019 TO MARCH 31, 2019

MARIA MULLER - Premiere Select IRA
Account Number: RQ4-000810

YOUR FINANCIAL ADVISOR IS:
SCOTT FITZGERALD
RR#: AZP

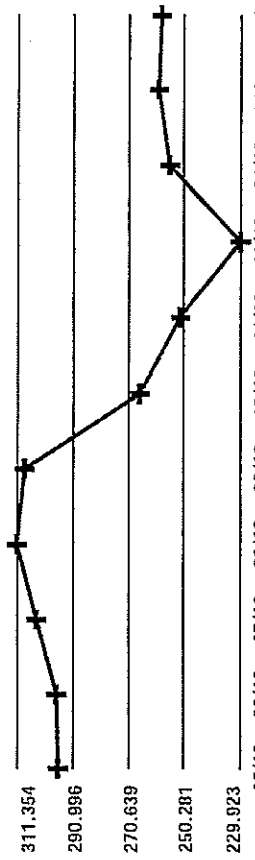
For questions about your accounts:
Local: 631 353 0003
In-State: 631 353 0003
National: 631 353 0003

TOTAL VALUE OF YOUR PORTFOLIO

\$258,783.65

CHANGE IN VALUE OF YOUR PORTFOLIO

\$ thousands



Change In Value Of Your Portfolio information can be found in Miscellaneous Footnotes at the end of this statement.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Royal Alliance Associates, Inc.

MN_CEBGWBCPBDDQGPX BBBBC 20190329

Statement for the Period March 1, 2019 to March 31, 2019
MARIA MULLER - Premiere Select IRA
Account Number: RQ4-000810

Account Overview

CHANGE IN ACCOUNT VALUE	Current Period	Year-to-Date
BEGINNING VALUE	\$259,686.05	\$229,923.36
Additions and Withdrawals	\$0.00	\$0.00
Income	\$422.32	\$691.51
Taxes, Fees and Expenses	\$0.00	(\$571.79)
Other Activity	\$0.00	\$2.26
Change in Value	(\$1,324.72)	\$28,738.31
ENDING VALUE (AS OF 03/31/19)	\$258,783.65	\$258,783.65

Refer to Miscellaneous Footnotes for more information on Change in Value.

RETIREMENT CONTRIBUTIONS/DISTRIBUTIONS

CONTRIBUTIONS	Current Period	Year-to-Date
For Current Year 2019	\$0.00	\$0.00
For Prior Year 2018	\$0.00	\$0.00
DISTRIBUTIONS		
For Current Year 2019	\$0.00	\$0.00

REQUIRED MINIMUM DISTRIBUTION (RMD)

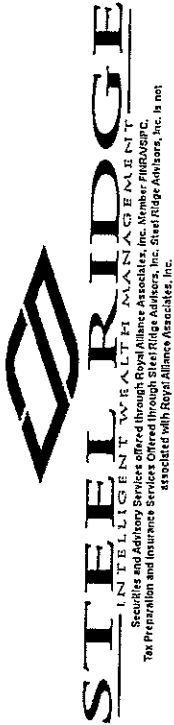
2019 RMD for this account	Current Period	Year-to-Date
	\$422.10	\$691.29
	\$0.22	\$0.22

Your RMD amount was calculated using the IRS Uniform Life Expectancy Table. Refer to Miscellaneous Footnotes at the end of this statement for more information.

INCOME	Current Period	Year-to-Date
Dividends	\$422.10	\$691.29
Interest	\$0.22	\$0.22

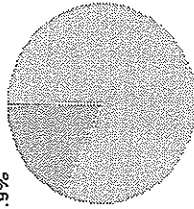
Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDDQGPX_BBBBC 20190329



ACCOUNT ALLOCATION

Bank Deposits 0.6%
Fixed Income 17.9%



Equities 81.5%

	Percent	Prior Period	Current Period
Money Markets	0.0 %	\$1,653.33	\$0.00
Bank Deposits	0.6	\$0.00	\$1,654.43
Equities	81.5	\$208,794.74	\$210,761.82
Fixed Income	17.9	\$49,237.98	\$46,367.40
TOTAL	100.0 %	\$259,686.05	\$258,783.65

Account Allocation shows the percentage that each asset class represents of your total account value. Account Allocation for equities, fixed income, and other categories may include mutual funds and may be net of short positions. NFS has made assumptions concerning how certain mutual funds are allocated. Closed-end mutual funds and Exchange Traded Products (ETPs) listed on an exchange may be included in the equity allocation. The chart may not reflect your actual portfolio allocation. Consult your broker/dealer prior to making investment decisions.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019

MARIA MULLER - Premiere Select IRA
Account Number: RQ4-000810



Account Overview *continued*

<i>INCOME continued</i>	<i>Current Period</i>	<i>Year-to-Date</i>
TOTAL INCOME	\$422.32	\$691.51

All income is tax deferred until it is distributed from the account.

TAXES, FEES AND EXPENSES	<i>Current Period</i>	<i>Year-to-Date</i>
Account Fees	\$0.00	(\$571.79)
TOTAL TAXES, FEES AND EXPENSES	\$0.00	(\$571.79)

MESSAGES AND ALERTS

DRS - Direct Registration System Transfer Agent Fee Effective May 1, 2014, three transfer agents, Computershare, Wells Fargo, and Registrar and Transfer Company are implementing a \$15 transfer fee for each position moved into your brokerage account via book entry Direct Registration System - DRS. If the fee is charged by the agent, NFS will pass through the charge to the account. As a reminder, there is already an existing fee charged to accounts for outgoing DRS transfers. Please contact your Financial Advisor if you have any questions regarding this fee.

Beginning in January 2019, National Financial Services will enhance the end-investor statement with the following changes. Payee details will be displayed within Activity Sections Description field for transactions that have associated Payee information. A summary level total of Short Dividends charged will be reported within the Account Overview section. Change in Value of Your Portfolio graph will show minimum and maximum scaling on the Y axis, include Negative values and, use clearer data points for information displayed.

National Financial Services LLC NFS is required by the Securities Exchange Act of 1934 to provide certain financial information from its Statement of Financial Condition. At December 31, 2018, NFS, an affiliate of Fidelity Brokerage Services LLC, had net capital of \$4,012 million, which was 13.67 percent of aggregate debit items and exceeded its minimum requirement by \$3,425 million. To acquire the Statement of Financial Condition, log on to www.nybrokerageinfo.com. If you wish to obtain a copy of this document at no cost, please call 800-439-5627.

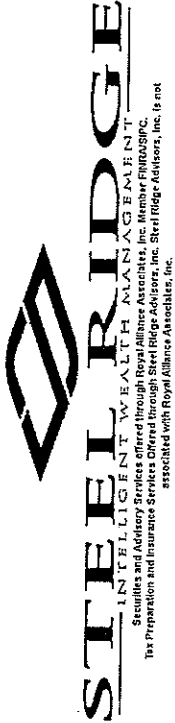
Royal Alliance Associates, Inc.

MN _CEBGWBCPBDDQGPX_BBBC 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019

MARIA MULLER - Premiere Select IRA
Account Number: RQ4-000810



Holdings

For additional information regarding your holdings, please refer to the footnotes at the end of the statement.

CASH AND CASH EQUIVALENTS - 0.64% of Total Account Value

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income
Bank Deposits					
Bank deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). Funds used to purchase or sweep to a bank deposit are SIPC protected until deposited to a Program Bank at which time funds may be eligible for FDIC insurance. Customers are responsible for monitoring their total deposits at each Program Bank to determine the extent of available FDIC insurance. Refer to the Bank Deposit Detail section which appears later in this statement for information on the banks holding your deposits. If your account was established on the last business day of this month, your statement will not include a Bank Deposit Detail section.					
ADVISOR GROUP INS DEPOSIT PROGRAM (LEVEL)	QAGIQ CASH	1,654.43	\$1.00	\$1,654.43	
Estimated Annual Yield 0.24%					
Total Cash and Cash Equivalents				\$1,654.43	

Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDQGPX_BBBBC 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019

MARIA MULLER - Premiere Select IRA
Account Number: RQ4-000810



HOLDINGS > FIXED INCOME - 1.48% of Total Account Value

For an explanation of fixed income pricing, please see the last page. Redemption schedule(s), bond rating(s), and other information are provided where available. If information does not appear regarding a particular investment, it is not available. The ratings on this statement are provided by Standard & Poor's and/or Moody's to rate the quality based on the respective rating agency's assessment. Ratings information from Standard & Poor's ("S&P") may not be reproduced. S&P credit ratings are statements of opinion and are not statements of fact or recommendations to purchase, hold, or sell securities, nor do they address the suitability of securities for investment purposes, and should not be relied on as investment advice. S&P does not guarantee the accuracy, completeness, timeliness or availability of any information, including ratings, and is not responsible for errors or omissions (negligent or otherwise). S&P gives no express or implied warranties, including but not limited to any warranties of merchantability or fitness for a particular purpose or use. S&P shall not be liable for any direct, indirect, incidental, exemplary, compensatory, punitive, special or consequential damages, costs, expenses, legal fees, or losses (including lost income or profits and opportunity costs) in connection with any use of ratings.

Description	Symbol/Cusip Account Type	Quantity	Estimated Price on 03/31/19	Estimated Current Market Value	Estimated Annual Income
Corporate Bonds					
SEARS HLDGS CORP NOTE CALL MAKE WHOLE 6.62500% 10/15/2018	812350AE6 CASH	32.000	\$12.00	\$3,840.00	
MOODY'S WR CPN PMT SEMI-ANNUAL ON OCT 15, APR 15 CONTINUOUSLY CALLABLE IN MONETARY DEFAULT					
Total Fixed Income		32.000		\$3,840.00	

HOLDINGS > MUTUAL FUNDS - 92.22% of Total Account Value

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income
Equity					
BLACKROCK MID CAP GROWTH EQUITY INSTL Dividend Option Reinvest Capital Gain Option Reinvest	CMGIX CASH	1,054.233	\$26.82	\$28,274.53	
FIDELITY ADVISOR GROWTH OPPTY CL I Dividend Option Reinvest Capital Gain Option Reinvest	FAGCX CASH	351.837	\$86.18	\$30,321.31	
FIDELITY ADVISOR HEALTH CARE CL I Dividend Option Reinvest Capital Gain Option Reinvest	FHCIX CASH	251.46	\$52.64	\$13,236.85	
FIDELITY ADVISOR REAL ESTATE CL I Estimated Yield 2.22% Dividend Option Reinvest Capital Gain Option Reinvest	FHEIX CASH	398.006	\$22.56	\$8,979.02	\$199.40

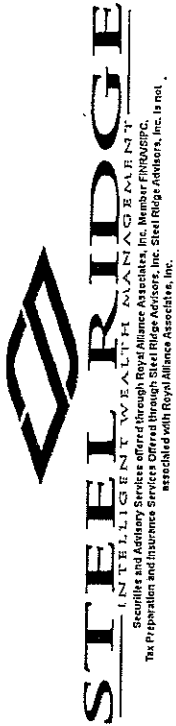
Royal Alliance Associates, Inc.

MN_CEBGWBCPBBDQGPX_BBBBC 20190329

Account carried with National Financial Services LLC, Member NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019

MARIA MULLER - Premiere Select IRA
Account Number: RQ4-000810



HOLDINGS > MUTUAL FUNDS *continued*

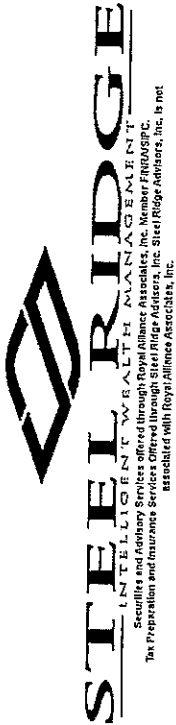
Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income
GOLDMAN SACH US EQU DIVIDEND & PREM FD I	GSPXX CASH	1,504.723	\$12.09	\$19,094.93	\$400.11
Estimated Yield 2.09%					
Dividend Option Reinvest					
Capital Gain Option Reinvest					
GOLDMAN SACHS ABSOLU RETURN TRACKER	GJRTX CASH	1,456.201	\$9.57	\$13,835.84	\$145.91
INSTL					
Estimated Yield 1.04%					
Dividend Option Reinvest					
Capital Gain Option Reinvest					
OPPENHEIMER GLOBAL OPPORTUNITIES CL Y	OGIYX CASH	616.775	\$58.96	\$36,365.05	
Dividend Option Reinvest					
Capital Gain Option Reinvest					
T ROWE PRICE INSTL LARGE CAP GROWTH	TRLGX CASH	606.013	\$40.94	\$24,810.17	\$60.60
Estimated Yield 0.24%					
Dividend Option Reinvest					
Capital Gain Option Reinvest					
VANGUARD SMALL-CAP VALUE INDEX ADMIRAL	VSIAX CASH	381.518	\$55.30	\$21,097.95	\$442.87
Estimated Yield 2.09%					
Dividend Option Reinvest					
Capital Gain Option Reinvest					
Total Equity				\$196,115.65	\$1,248.89
Fixed Income					
FIDELITY ADVISOR STRATEGIC INC CL I	FSRIX CASH	1,162.711	\$12.22	\$14,208.33	\$479.32
Estimated Yield 3.37%					
Dividend Option Reinvest					
Capital Gain Option Reinvest					
LOOMIS SAYLES STRATEGIC INC Y	NEZYX CASH	991.193	\$14.04	\$13,916.35	\$544.46
Estimated Yield 3.91%					
Dividend Option Reinvest					
Capital Gain Option Reinvest					

Royal Alliance Associates, Inc.

MN_CEBGWBCPBDDQGPX_BBBC 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
MARIA MULLER - Premiere Select IRA
Account Number: RQ4-000810



HOLDINGS > MUTUAL FUNDS *continued*

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income
PIMCO INCOME FUND INSTITUTIONAL FUND	PIMIX CASH	1,200.227	\$12.00	\$14,402.72	\$799.35
Estimated Yield 5.55%					
Dividend Option Reinvest					
Capital Gain Option Reinvest					
Total Fixed Income				\$42,527.40	\$1,823.13
Total Mutual Funds				\$238,643.05	\$3,072.02

HOLDINGS > EXCHANGE TRADED PRODUCTS - 5.66% of Total Account Value

Description	Symbol/Cusip Account Type	Quantity	Price on 03/31/19	Current Market Value	Estimated Annual Income
Equity					
VANGUARD WORLD FDS VANGUARD CONSUMER	VDC CASH	100.862	\$145.21	\$14,646.17	\$389.29
STAPLES ETF					
Estimated Yield 2.65%					
Dividend Option Reinvest					
Capital Gain Option Reinvest					
Total Exchange Traded Products				\$14,646.17	\$389.29
Total Securities				\$257,129.22	\$3,461.31
TOTAL PORTFOLIO VALUE				\$258,783.65	\$3,461.31

Activity

PURCHASES, SALES, AND REDEMPTIONS

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
-----------------	--------------	-------------	-------------	----------	--------

Securities Purchased

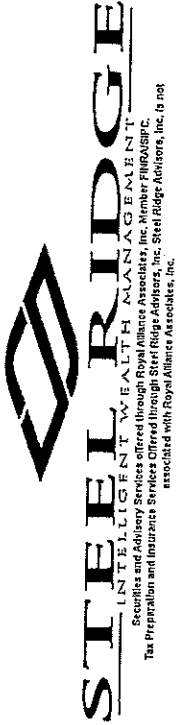
02/28/19	CASH	REINVESTMENT	LOOMIS SAYLES STRATEGIC INC Y REINVEST @ \$13.9000	2.713	(\$37.96)
----------	------	--------------	--	-------	-----------

Royal Alliance Associates, Inc.

MN_CEBGWRCBBDQGPX_BBBC 20190329

Account carried with National Financial Services LLC, Member NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019
MARIA MULLER - Premiere Select IRA
Account Number: RQ4-000810



PURCHASES, SALES, AND REDEMPTIONS *continued*

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
02/28/19	CASH	REINVESTMENT	PIMCO INCOME FUND INSTITUTIONAL FUND REINVESTED @ \$11.95	5.548	(\$66.30)
03/08/19	CASH	REINVESTMENT	FIDELITY ADVISOR REAL ESTATE CL I REINVEST @ \$21.880	0.309	(\$6.76)
03/26/19	CASH	REINVESTMENT	VANGUARD WORLD FDS VANGUARD CONSUMER STAPLES ETF REINVEST @ \$142.9424 TRADE DATE 03-25-19	0.525	(\$75.00)
03/27/19	CASH	REINVESTMENT	VANGUARD SMALL-CAP VALUE INDEX ADMIRAL REINVESTED @ \$54.75 AS OF 03/27/19	1.758	(\$96.23)
03/29/19	CASH	REINVESTMENT	FIDELITY ADVISOR STRATEGIC INC CL I REINVEST @ \$12.220	3.629	(\$44.35)
03/29/19	CASH	REINVESTMENT	GOLDMAN SACH US EQU DIVIDEND & PREM FD I REINVEST @ \$12.6300	7.492	(\$94.62)
Total Securities Purchased					(\$421.22)

Securities Sold

03/17/19	CASH	YOU SOLD	FIDELITY GOVT MMKT DAILY MONEY CLASS FZBXX TO QAGLQ	(1,653.33)	\$1,653.33
Total Securities Sold					\$1,653.33

ACTIVITY > CORE FUND ACTIVITY

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
03/11/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (LEVEL) QAGLQ IS LIQUID	1,653.33	(\$1,653.33)
03/29/19	CASH	YOU BOUGHT	ADVISOR GROUP INS DEPOSIT PROGRAM (LEVEL) @ 1	0.88	(\$0.08)
03/29/19	CASH	REINVESTMENT	ADVISOR GROUP INS DEPOSIT PROGRAM (LEVEL) NET INT REINVEST	0.22	(\$0.22)
TOTAL CORE FUND ACTIVITY					(\$1,654.43)

Royal Alliance Associates, Inc.

MN_CERGWBCPBBDQGPX_BBBBC 20190329

Account carried with National Financial Services LLC, Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019

MARIA MULLER - Premiere Select IRA
Account Number: RQ4-000810



ACTIVITY > INCOME

Settlement Date	Account Type	Transaction	Description	Quantity	Amount
Dividends					
02/28/19	CASH	DIVIDEND RECEIVED	LOOMIS SAYLES STRATEGIC INC Y		\$37.96
02/28/19	CASH	DIVIDEND RECEIVED	PIMCO INCOME FUND INSTITUTIONAL FUND		\$66.30
03/08/19	CASH	DIVIDEND RECEIVED	FIDELITY ADVISOR REAL ESTATE CL		\$6.76
03/26/19	CASH	DIVIDEND RECEIVED	VANGUARD WORLD FDS VANGUARD CONSUMER STAPLES ETF		\$75.00
03/27/19	CASH	DIVIDEND RECEIVED	VANGUARD SMALL-CAP VALUE INDEX ADMIRAL		\$96.23
03/29/19	CASH	DIVIDEND RECEIVED	FIDELITY ADVISOR STRATEGIC INC CL I DIVIDEND RECEIVED		\$44.35
03/29/19	CASH	DIVIDEND RECEIVED	FIDELITY GOVT MMKT DAILY MONEY CLASS DIVIDEND RECEIVED		\$0.88
03/29/19	CASH	DIVIDEND RECEIVED	GOLDMAN SACH US EQU DIVIDEND & PREM FDI		\$94.62
Total Dividends					\$422.10
Interest					
03/29/19	CASH	INTEREST RECEIVED	ADVISOR GROUP INS DEPOSIT PROGRAM (LEVEL)		\$0.22
Total Interest					\$0.22
TOTAL INCOME					\$422.32

Royal Alliance Associates, Inc.

MN_CEEGWBCPBBDQGPX_BBBBC 20190329

Account carried with National Financial Services LLC. Member
NYSE, SIPC

Statement for the Period March 1, 2019 to March 31, 2019

MARIA MULLER - Premiere Select IRA
Account Number: RQ4-000810

ACTIVITY > BANK DEPOSIT DETAIL

Bank deposits are not securities and are not covered by the Securities Investor Protection Corporation (SIPC). Customers are responsible for monitoring their total deposits at each Program Bank to determine the extent of available FDIC insurance. Your Ending Balance at each Program Bank as of the end of this statement period is shown below. If you participate in a Bank Deposit Sweep Program and also hold a Bank Deposit Direct Investment, the Bank Deposit Detail section lists banks and ending balances for both programs. Funds pending settlement reflect deposits to (credit) or withdrawals from (debit) a Program Bank. Subject to the terms of the applicable bank deposit disclosure, customers are reminded that funds are deposited to a Program Bank on the business day following the date that funds are credited to your account and until swept to a Program Bank, funds are covered by SIPC.

Bank	Beginning Balance	Ending Balance
Capital One Bank	\$0.00	\$1,653.55
Current Month's Pending Settlement		\$0.88
Total Bank Deposits	\$0.00	\$1,654.43

Miscellaneous Footnotes

CHANGE IN VALUE OF YOUR PORTFOLIO is the change in market value of your portfolio assets over the time period shown. The portfolio assets include the market value of all the securities in the account, plus insurance and annuity assets if applicable. The time frame of the graph is from account opening or September 2011, whichever is later, to the current period. Please note that large increases and/or declines in the value of the portfolio can be due to additions, distribution and/or performance.

CHANGE IN VALUE reflects appreciation or depreciation of your holdings due to price changes plus any activity not reflected within Additions and Withdrawals, Income, Taxes, Fees and Expenses, and Other Activity sections. Change in Value does not reflect activity related to assets in which NFS is not the custodian (e.g. Insurance and Annuities, Assets Held Away and Other Assets Held Away).

REQUIRED MINIMUM DISTRIBUTION - As required by the Internal Revenue Service (IRS) and noted on your Form 5498, you must take minimum required distributions (RMD) by April 1st of the calendar year following the year in which you turn 70 1/2. Subsequent withdrawals must be completed by December 31st every year thereafter. The RMD Amount for this account was calculated based upon your primary beneficiary information as of January 1st of the current calendar year, your life expectancy factor taken from the IRS Uniform Life Expectancy Table, and the prior year end value of your retirement account. If your beneficiary information changed during the calendar year, your RMD calculation may be impacted. The calculation is based on information submitted to NFS by your broker/dealer. You are responsible for withdrawing RMDs on a timely basis, otherwise tax penalties may apply. You must calculate your RMD separately for each IRA you have at NFS and at any other financial institution. The RMD may be satisfied from this account or any other existing IRAs. If you need additional information or have any questions on how the RMD is calculated, please consult IRS Publication 590 or a tax professional.

CALLABLE SECURITIES LOTTERY - When street name or bearer securities held for you are subject to a partial call or partial redemption by the issuer, NFS may or may not receive an allocation of called/redeemed securities by the issuer, transfer agent and/or depository. If NFS is allocated a portion of the called/redeemed securities, NFS utilizes an impartial lottery allocation system, in accordance with applicable rules, that randomly selects the securities within customer accounts that will be called/redeemed. NFS' allocations are not made on a pro rata basis and it is possible for you to receive a full or partial allocation, or no allocation. You have the right to withdraw uncalled fully paid securities at any time prior to the cutoff date and time established by the issuer, transfer agent and/or depository with respect to the partial call, and also to withdraw excess margin securities provided your account is not subject to restriction under Regulation T or such withdrawal will not cause an undermargined condition.

PRICING INFORMATION - Prices displayed are obtained from sources that may include pricing vendors, broker/dealers who clear through NFS and/or other sources. Prices may not reflect current fair market value and/or may not be readily marketable or redeemable at the prices shown.

FOREIGN EXCHANGE TRANSACTIONS - Some transaction types necessitate a foreign currency exchange (FX) in order to settle. FX transactions may be effected by Fidelity Forex, Inc. on a principal basis. Fidelity Forex, Inc., an affiliate of NFS, may impose a commission or markup on the prevailing interbank market price, which may result in a higher price to you. Fidelity Forex, Inc. may share a portion of any FX commission or markup with NFS. More favorable rates may be available through third parties not affiliated with NFS. The rate applicable to any transaction involving an FX is available upon request through your broker-dealer.

Royal Alliance Associates, Inc.

Account carried with National Financial Services LLC, Member
NYSE, SIPC

MN_CEBGWBGPBRDQGPX_BBBBC 20190329

GLOSSARY Short Account Balances. If you have sold securities under the short sale rule, we have, in accordance with regulations, segregated the proceeds from such transactions in your Short Account. Any market increases or decreases from the original sale price will be marked to the market and will be transferred to your Margin Account on a weekly basis. **Market Value** - The Total Market Value has been calculated out to 9 decimal places. However, the individual unit prices is displayed in 5 decimal places. The Total Market Value represents prices obtained from various sources, may be impacted by the frequency in which such prices are reported and such prices are not guaranteed. Prices received from pricing vendors are generally based on current market quotes, but when such quotes are not available the pricing vendors use a variety of techniques to estimate value. These estimates, particularly for **fixed income securities**, may be based on certain minimum principal amounts (e.g. \$1 million) and may not reflect all of the factors that affect the value of the security, including liquidity risk. The prices provided are not firm bids or offers. Certain securities may reflect "NA" or "unavailable" where the price for such security is generally not available from a pricing source. The Market Value of a security, including those priced at par value, may differ from its purchase price and may not

CUSTOMER SERVICE: Please review your statement and report any inaccuracy or discrepancy immediately by calling the telephone number of your broker-dealer reflected on the front of this statement. Reports of any inaccuracy or discrepancy regarding your brokerage account or the activity therein should be directed to your broker-dealer at the telephone number and address reflected on the front of this statement and National Financial Services LLC ("NFS").

NFS carries your brokerage account and acts as your custodian for funds and securities that are deposited with NFS by you or your broker-dealer. In addition to your initial contact with your broker-dealer, you may contact NFS at (800) 801-9942. Any oral communications regarding inaccuracies or discrepancies should be reconfirmed in writing to protect your rights, including those under the Securities Investor Protection Act ("SIPA"). When contacting either your broker-dealer or NFS, remember to include your entire brokerage account number to ensure a prompt reply.

ADDITIONAL INFORMATION Free credit balances ("FCB") are funds payable to you on demand. FCB are subject to open commitments such as uncleared checks and exclude proceeds from sales of certificated securities without delivery of the certificate. If your FCB is swept to a core position, you can liquidate the core position and have the proceeds sent to you or held in your account subject to the terms of your account agreement. Required rule 10b-10(a) information not contained herein will be provided on written request. Fidelity may use this free credit balance in connection with its business, subject to applicable law.

Credit Adjustment Program. Accountholders receiving payments in lieu of qualified dividends may not be eligible to receive credit adjustments intended to help cover additional associated federal tax burdens. NFS reserves the right to deny the adjustment to any account holder and to amend or terminate the credit adjustment program.

Options Customers. Each transaction confirmation previously delivered to you contains full information about commissions and other charges. If you require further information, please contact your broker-dealer.

Assignments of American and European-style options are allocated among customer short positions pursuant to a random allocation procedure, a description of which is available upon request. Short positions in American-style options are liable for assignment at any time. The writer of a European-style option is subject to exercise assignment only during the exercise period. You should advise your broker-dealer promptly of any material change in your investment objectives or financial situation. **Splits, Dividends, and Interest.** Expected stock split, next dividend payable, and next interest payable information has been provided by third parties and may be subject to change. Information for certain securities may be missing if not received from third parties in time for printing. NFS is not responsible for inaccurate, incomplete, or missing information. Please consult your broker-dealer for more information about expected stock split, next dividend payable, and next interest payable for certain securities.

Equity Dividend Reinvestment Customers. Shares credited to your brokerage account resulted from transactions effected as agent by either: 1) Your broker-dealer for your investment account, or 2) through the Depository Trust Company (DTC) dividend reinvestment program. For broker-dealer effected transactions, the time of the transactions, the exchange upon which these transactions occurred and the name of the person from whom the security was purchased will be furnished upon written request. NFS may have acted as market maker in effecting trades in "over-the-counter" securities.

Retirement Contributions/Distributions. A summary of retirement contributions/distributions is displayed for you in the activity summary section of your statement. **Income Reporting.** NFS reports earnings from investments in Traditional IRAs, Rollover IRAs, SEP-IRAs and, Keoghs as tax-deferred income. Earnings from Roth IRAs are reported as tax-free income, since distributions may be tax-free after meeting the 5 year aging requirement and certain other conditions. A financial statement of NFS is available for your personal inspection at its office or a copy of it will be mailed to you upon your written request.

Statement Mailing. NFS will deliver statements by mail or, if applicable, notify you by e-mail of your statement's availability, if you had transactions that affected your cash balances or security positions held in your account(s) during the last monthly reporting period. At a minimum, all brokerage customers will receive quarterly statements (at least four times per calendar year) as long as their accounts contain a cash or securities balance.

Loads and Fees. In connection with (i) access to, purchase or redemption of, and/or maintenance of positions in mutual funds and other investment products ("funds") or (ii) infrastructure needed to support such funds, some funds, or their investment affiliates, pay your introducing broker dealer and/or NFS sales loads and 12b-1 fees

Royal Alliance Associates, Inc.

MN _CEBGWBCPBDDQGPX_BBBBC 20190329

closely reflect the value at which the security may be sold or purchased based on various market factors. Investment decisions should be made only after consulting your broker-dealer.

Estimated Annual Income (EAI) & Estimated Yield (EY) - EAI for fixed income is calculated using the coupon rate. For all other securities, EAI is calculated using an indicated annual dividend (IAD). The IAD is an estimate of a security's dividend payments for the next 12 months calculated based on prior and/or declared dividends for that security. EY reflects only the income generated by an investment and not changes in its price which may fluctuate. Interest and dividend rates are subject to change at any time and may be affected by current and future economic, political and business conditions. EAI and EY are estimates only and may include return of principal and/or capital gains, which would render them overstated. EAI and EY are provided for informational purposes only and should not be used or relied on for making investment, trading or tax decisions. EAI and EY are based on data obtained from information providers believed to be reliable, but no assurance can be made as to accuracy, timeliness or completeness.

described in the prospectus as well as additional compensation for shareholder services, start-up fees, infrastructure support and maintenance, and other programs. Additional information about the source(s) and amount(s) of compensation as well as other remuneration received by your introducing broker dealer and/or NFS will be furnished to you upon written request. At time of purchase fund shares may be assigned a load, transaction fee or no transaction fee status. At time of sale, any fees applicable to your transaction will be assessed based on the status assigned to the shares at time of purchase. **Margin.** If you have applied for margin privileges and been approved, you may borrow money from NFS in exchange for pledging the assets in your account as collateral for any outstanding margin loan. The amount you may borrow is based on the value of securities in your margin account, which is identified on your statement. If you have a margin account, this is a combined statement of your margin account and special memorandum account other than your non-purpose margin accounts maintained for you under Section 220.5 of Regulation T issued by the Board of Governors of the Federal Reserve Board. The permanent record of the separate account, as required by Regulation T, is available for your inspection upon request. **NYSE and FINRA.** All transactions are subject to the constitution, rules, regulations, customs, usages, rulings and interpretations of the exchange market and its clearing house, if any, where the transactions are executed, and of the New York Stock Exchange (NYSE) and of the Financial Industry Regulatory Authority ("FINRA"). The FINRA requires that we notify you in writing of the availability of an investor brochure or more information about the Program or FINRA Regulation, contact the FINRA Regulation Broker-Check Program Hotline at (800) 289-9999 or access the FINRA's web site at www.finra.org. To obtain a 4311 requires that your broker-dealer and NFS allocate between them certain functions regarding the administration of your brokerage account. The following is a summary of the allocation services performed by your broker-dealer and NFS. A more complete description is available upon request. **Your broker-dealer is responsible for:** (1) obtaining and verifying brokerage account information and documentation, (2) opening, approving and monitoring your brokerage account, (3) transmitting timely and accurate orders and other instructions to NFS with respect to your brokerage account, (4) determining the suitability of investment recommendations and advice, (5) operating, and supervising your brokerage account and its own activities in compliance with applicable laws and regulations including compliance with margin rules pertaining to your margin account, if applicable, and (6) maintaining required books and records for the services that it performs. **NFS shall, at the direction of your broker-dealer:** (1) execute, clear and settle transactions processed through NFS by your broker-dealer, (2) prepare and send transaction confirmations and periodic statements of your brokerage account (unless your broker-dealer has undertaken to do so). Certain securities pricing and descriptive information may be provided by your broker-dealer or obtained from third parties deemed to be reliable, however, this information has not been verified by NFS, (3) act as custodian for funds and securities received by NFS on your behalf, (4) follow the instructions of your broker-dealer with respect to transactions and the receipt and delivery of funds and securities for your brokerage account, and (5) extend margin credit for purchasing or carrying securities on margin. Your broker-dealer is responsible for ensuring that your brokerage account is in compliance with federal, industry and NFS margin rules, and for advising you of margin requirements. NFS shall maintain the required books and records for the services it performs. **Securities in accounts carried by NFS are protected in accordance with the Securities Investor Protection Corporation ("SIPC")** up to \$500,000. The \$500,000 total amount of SIPC protection is inclusive of up to \$250,000 protection for claims for cash, subject to periodic adjustments for inflation in accordance with terms of the SIPC statute and approval by SIPC's Board of Directors. NFS also has arranged for coverage above these limits. Neither coverage protects against a decline in the market value of securities, nor does either coverage extend to certain securities that are considered ineligible for coverage. For more details on SIPC, or to request a SIPC brochure, visit www.sipc.org or call 1-202-371-8300. Funds used to purchase or sweep to a bank deposit are SIPC protected until deposited to a Program Bank at which time funds may be eligible for FDIC insurance. Assets Held Away, commodities, unregistered investment contracts, futures accounts, loaned securities and other investments may not be covered. Precious metals are not covered by SIPC protection. Mutual funds and/or other securities are not backed or guaranteed by any bank, nor are they insured by the FDIC and involve investment risk including possible loss of principal.

End of Statement

722239.7.0

Account carried with National Financial Services LLC, Member
NYSE, SIPC

This page is left intentionally blank